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**TEACHERS' IDENTITY CONSTRUCTION:  
A CASE STUDY OF VIETNAMESE TEACHERS  
IN COMMUNICATIVE ENGLISH CLASSROOMS**

*By*

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Submitted in partial fulfilment of the requirements for the degree of  
Doctor of Philosophy in English Language Teaching and Applied  
Linguistics

University of Warwick, Centre for Applied Linguistics  
March 2019

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## **LIST OF ABBREVIATIONS**

CA	Conversation Analysis
CFG	Critical Friend Group
CHC	Confucian Heritage Culture
CLT	Communication Language Teaching
CS	Code Switching
EFL	English as a Foreign Language
ESL	English for Second Language
FISE	Federation Internationale Syndicate de L'Enseignants
GDP	Gross Domestic Product
HE	Higher Education
IELTS	International English Language Testing System
INSETT	In-service Education and Training
IRF/IRE	Initiation-Response-Feedback/ Initiation-Response-Education
L1	Language 1 (Vietnamese)
L2	Language 2 (English)
TL	Target Language
MA	Master of Arts
MOET	Ministry of Education and Training
PCK	Pedagogical Content Knowledge
PNTR	Permanent Normal Trade Relations
PRESETT	Pre-service Education and Training
RP	Reflective Practice
SIT	Social Identity Theory
TESOL	Teaching English to Speakers of Other Languages
TOEIC	Test Of English for International Communication
WTO	World Trade Organization

*In memory of my grandpa, Dương Khắc Thụ and our little Poppy*



## ACKNOWLEDGEMENTS

First and foremost, I would like to express my deepest and sincerest gratitude to my supervisors, Dr Stephanie Schnurr and Dr Steve Mann for their expert guidance and tremendous support both academically and morally. Both of my supervisors have provided me with their insightful guidance. In particular, my deepest gratitude to Dr Stephanie Schnurr for being my source of inspiration, who has not only been able to maximise my ability to study, but also walked with me through my hardest times. To Dr Steve Mann, I would like to express my sincere gratitude for his unwavering support, understanding and being always fully engaged in the topic of my research. I can never express enough how grateful I am to have been your student. You are both the greatest teachers I have ever had in my life, without your guidance, insights and kindness, I know for certain that this journey would never have been as meaningful and enlightening as it has been for me.

My thesis would not have been possible without the support of Haiphong University and Haiphong language centre for their financial support and assistance throughout my PhD journey. I am also immensely grateful for the encouraging assistance from the directors, teachers and students from ABC and Englishforall – the two language centres from where data for this thesis were collected. I would like to thank all these important people and organisations for the completion of my thesis.

My thanks go to my beloved parents, Nguyễn Bình Kiên and Dương Thị Băng Tâm for being the ultimate believers in me and my lucky charms. The person to whom I owe a great deal is my wonderful husband Masulova Mathews Kuzhikalayil, who has always trusted in me and has always been willing to sacrifice his time to prioritise my busy research life. My special thanks go to my special PhD friends, Ekin and Rachel, for their time and wonderful ideas.

Finally, thank you grandpa and our little poppy for looking out for me from heaven. This journey has witnessed the loss of two of my loved ones, but also in return taught me to be stronger and more determined to achieve my aims.

## **DECLARATION**

I declare that all the materials contained in this thesis are my own work, and have not been published before. Also, I confirm that this thesis has not been submitted for a degree at another university.

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Nguyen Thi Hong Nhung

## ABSTRACT

Notwithstanding the attempts of the Vietnamese government to change traditional teaching styles, from teacher-centredness to student-centredness, current educational studies in Vietnam indicate that the *status quo* remains mostly the same (Pham, 2018). Taking into account this slow transformation, educational researchers have gradually shifted their attention to Vietnamese teachers' identities to address this situation. However, educational studies focusing on this emerging area that are situated within a qualitative paradigm are scarce. Many of these educational studies adopt less critical research instruments, such as questionnaires, classroom observations and interviews. This study seeks to fill this research space in Vietnam educational research by exploring Vietnamese teachers' identities from a linguistic and discourse perspective. The two main focuses are (1) how the participants discursively mobilise their identities in the classroom discourse and (2) how the findings enrich Vietnamese teachers' professional development in Vietnam.

Situated within the social constructivism paradigm, the thesis explores and analyses Vietnamese teachers' identity construction from a micro-level of communicative classroom interaction. Among many other discourse strategies, the study focuses on three main discursive strategies and processes that the teachers deploy to portray themselves, namely code switching, humour and negotiation of face. It is found that besides the traditional identities, there is a construction of a wide range of other, less expected teachers' identities, such as being friend-like, playful, approachable, supportive, and empathic. It is therefore suggested that the participants' identity construction is moving towards student-centredness.

This study contributes to the current research of Vietnamese teachers' identities at theoretical, methodological and practical levels. Theoretically, it highlights the importance of conceptualising Vietnamese teachers' identities as dynamic and multifaceted in nature. Methodologically, it demonstrates how looking at teachers' identity construction from a linguistic and micro-level of classroom interaction can reveal the complexity of such a construct, as well as the complexity of classroom life. And finally, it suggests, on a practical level, the engagement of various forms of empirical evidence of classroom interactions in teachers' development courses to create more meaningful reflection opportunities for teachers in Vietnam.

## **Chapter I – Introduction**

Since its economic campaign from 1986, Vietnam has transformed drastically with rapid economic growth and social development. Such rapid change in conjunction with the government's aim of making Vietnam an industrialized country by 2020 have brought about the need for many changes and pressure placed on education and teachers. One of the critical changes commenced in the last few decades is the emphasis on the role of English in Vietnam industrialisation process and the adoption of Communicative Language Teaching (CLT). Despite the attempt to transform teacher education courses to meet the demand of Vietnam in new economic and social positions, the current quality of English teaching and learning in Vietnam still poses a big concern for many educators and researchers (Pham, 2007; Pham, 2005). To gain insights and depict wholly the picture of current English teaching and learning situation during CLT implementation process, researchers and educators have enthusiastically looked at various aspects of English education classrooms to address the shortcomings. This thesis, situated within this line of enquiry, explores the identity construction of Vietnamese teacher in communicative classrooms in this new educational, social and economic background in order to offer insights for teacher professional development courses.

The impetus for the present thesis stems from my previous research, which focused on the interrelation between Vietnamese teachers' perception and their identities in classroom discourse. In this last research project, I investigated the teachers' claim of being friends to their students. This explicit relational claim attracted my attention due to its opposition to the normative teacher-student relationship in Vietnam, which is usually asymmetrical and imbalanced (Manke, 1997b). For such reason, I explored to what extent this claim reflects classroom realities and how the findings could offer new and interesting insights into language teaching practice in Vietnam. When analysing the classroom recordings, I identified classroom discourse patterns that did not support the Vietnamese teachers' claim and questioned this perception of themselves. Specifically, the classroom discourse associated with the teacher-centred approach is evident in that discourse in terms of the interlocutors' turn contribution, Initiate-Response-Feedback (IRF) pattern, question types and sequence management. The observation of the retaining of conventional teaching methodology inspired me to further investigate Vietnamese teachers' identities in the setting of CLT in my

doctoral research. In particular, I wanted to explore the relationship between the expectations adhered to Vietnamese teachers in a Confusion Heritage society such as Vietnam, and their connection to the discursive enactment of Vietnamese teachers' identity within communicative classroom environment. This connection is then considered in light of CLT's concepts about the roles of teachers and students in order to offer practical implications for teacher educational courses.

Before providing the research questions and the method of how Vietnamese teachers' identities were investigated, the next section provides a brief review of Vietnam's history and its changes in the globalisation era. It is followed by a review of the Vietnamese educational system and contextual setting that form the norms of Vietnamese teachers' role within the society.

### **1.1. Vietnam in the context of globalisation**

Being one of the developing countries in South East Asia, Vietnam is well known for its extensive torment from wars. After more than one thousand years of fighting against Chinese dynasties, Vietnam continued to face colonisation from the French invasion in 1858. It was a French colony for almost a century, until August 1945, when Ho Chi Minh led a successful revolution to declare independence in the North and marked the newly established Democratic Republic of Vietnam. Following its establishment, the new government continued to support revolution to bring independence to the South, which was still under the control of America according to Geneva Agreement since 1954. With a yearning to unite the whole nation and in conjunction with receiving support from the Soviet Union and China, in April 1975 Ho Chi Minh's government successfully defeated the American troops and unified the north and south of Vietnam. The Democratic Republic of Vietnam now changed to the Socialist Republic of Vietnam. The war aftermath created a tremendous pressure on the newly established government as the nation's economy was severely damaged making Vietnam one of the poorest countries in the world at that time. In such a critical situation, the government implemented a series of political and economic reforms to boost the country's economy and productivity, known as 'ĐỔI MỚI [Innovation]'.

'ĐỔI MỚI [Innovation]' is a governmental campaign to gradually shift the country's economy from a centred to a socio-oriented market economy, a new economic model that facilitates industrialisation and modernisation in Vietnam. This market

transition, dating from the late 1980s and spanning over three decades, has witnessed a rapid economic growth that has resulted in the increase of average GDP, reduced poverty and improved people's living quality. Moreover, Vietnam's substantial economic growth has balanced the position of Vietnam and other countries in the region and opened up many collaboration and investment opportunities. The year 2016 marked a historic milestone of the 30-year period of Vietnam within the processes of industrialisation and modernisation, with many political and economic lessons summarised in the report of the General Secretary of Central Reasoning Council, Nguyễn Việt Thông (Vietnam News Agency, 2016). Compiling lessons from the previous reforms is critical for the Vietnam government to keep up the industrialisation and modernisation process and to enhance international integration in an age of globalisation.

Since "the process of globalisation is seen as blurring national boundaries, shifting solidarities within and between nation-states" (Nguyen, 2007: 70), the acceleration of globalisation has affected Vietnam's economic and social policy making approaches. Globalisation has brought about the acceleration and movement of "goods, services, capital, people and ideas across national borders" (Little and Green, 2009). In essence, globalisation promotes international integration and diminishes separation. Each country's actions in the era of globalisation cannot be treated in isolation, but have to take international perspectives into account. One significant aspect of globalisation is its speedy interconnectedness between countries in all life dimensions, such as cross-border flow of labour, culture, technology, communication, knowledge and capital (Dang *et al.*, 2013). To keep up with the demands of international integration and competitive markets, every country recognises the importance of having good economic strategies and a productive work force to compete in the world market and attract investment. In the 12<sup>th</sup> National Congress of the Communist Party of Vietnam, the Vietnamese government emphasised the importance of structuring developmental strategies to aid integration and Vietnam's globalisation process. The government has outlined four key features of developmental strategies from 2011 to 2020, as being 'innovative', 'adaptive', 'breakthrough' and 'sustainable' (Training Centre For People Representatives, 2014).

Having a skilled and productive workforce is recognised as one of the crucial factors in the era of globalisation and therefore results in the scenario that “[g]lobalisation rewards countries that have the human resources, but also penalises those that do not” (Stewart, 1996: 331). The importance of having a skilled workforce is twofold. Firstly, opening the world market offers a great opportunity for economic growth and a skilled workforce supplies quality human capital for countries to compete internationally. Being employed becomes increasingly competitive when companies only recruit people with world-class knowledge and high skills in order to remain in such a competitive global business environment. Secondly, skilled human resources can help countries strengthen their internal forces and keep up with the rapid change that globalisation brings about. Specifically, enterprises with highly skilled manpower can be more adaptive and responsive to the challenges of globalisation, such as absorbing and catching up effectively with the development of technologies (T. M. H. Nguyen, 2015). The mission to obtain such powerful workforce can be recognised and achieved through education, particularly higher education (henceforth HE).

The critical role of education in the process of industrialisation and modernisation has been firmly established in many studies (Nguyen, 2007; Dang *et al.*, 2013; T. M. H. Nguyen, 2015). “Globalization increases demand for education” (Subrahmanyam and Shekhar, 2014: 21), in particular contributes to “an increasing demand for a larger quantity and a better quality of higher education graduates” (Varghese, 2004: 8). The realisation of the demand for education is fully acknowledged by the Vietnam government:

Vietnam is still a backward agricultural country with narrow land, big population and few natural resources. Therefore, education and training strategy must be the key to narrow such a gap, push up the industrialization and modernization, make the economy grow and improve the people's living standards (Vietnamese Government, 2006 cited by T. M. H. Nguyen (2015: 06).

Indeed, the government asserts that unless Vietnam’s education creates skilled human resources, “the general goal of building a rich population, prosperous country, an equitable, democratic and civilized society is still far reaching” (T. L. H. Nguyen, 2005, p.114). Issuing policies and investing capital to achieve educational development is therefore considered to be one of the most important strategies stated

by the Vietnam government in its national development plan period 2011-2020. In article 35 of the Vietnamese constitution, issued in 1992, education is seen as ‘the first priority of the national policy’ and this has not been changed since then. This also creates pressure for the Vietnam education system in order to fulfil its duty to successfully integrate Vietnam internationally and earn its position in the world market.

## **1.2. Vietnam’s education and its role in Vietnam’s integration process**

With an educational genealogy dating back more than 1000 years and an organised system for around 500 years, the Vietnamese education system has experienced successes and failures during its development. Having undergone three major educational reforms in 1945, 1950 and 1975 (Kieu and Chau, 2012), Vietnam’s current educational system is still in the process of addressing shortcomings in its curriculum and teaching pedagogies (Kieu and Chau, 2012) to enhance the quality and achieve the mission of educating a skilled human resource for the country.

### **1.2.1. Educational changes**

Following the aims set out by the Vietnamese government, the Vietnam education system has recently pursued an educational reform from 2001-2020, divided into two stages. The education system has completed stage 1 with its strategic development from 2001-2010 and is now moving towards the end of strategic development 2011-2020. In essence, these educational strategies aim at improving many aspects of education, including “curriculum, teaching methods, testing and assessment methods, and textbooks” (T. M. H. Nguyen, 2015: 08). The overall aim approaching 2020 is that:

...the education is deeply and comprehensively innovated toward high standards, modernisation, socialisation, democracy and international integration; the quality is enhanced exhaustively, including civic education, learners’ soft skills, creativity, practical skills, English ability and technology skills...establish knowledge economy that ensures social equality in education and a life-long learning ability for learners, step by step establishing a learning society (Vietnam Government, 2012: 08).

#### **1.2.1.1. English education**

With a state-dominated market economy within a Leninist political framework, the country is open to opportunities, such as joining the World Trade Organisation (WTO) and gaining Permanent Normal Trade Relations (PNTR) status (Bao, 2014).



To maintain such a position on a long-term basis, a dynamic, creative and skilled workforce is fundamental. This brings about the changes in not only teaching and learning in general, but foreign language education in particular (Le, 2011). In Vietnam, among the compulsory subjects at school, learning and mastering English is considered to be extremely important. Following the internationalisation and globalisation movement, learning and teaching English in Vietnam “has been geared to a new direction” (Nguyen and Le, 2011: 292). After the economic movement of “ĐỔI MỚI [Innovation]”, the significant shift from a centralised planned economy to a market-oriented economy highlighted the indispensable role of English in Vietnam. Owing to the ‘Open Door’ policy issued by the former General Secretary Nguyen Van Linh in 1986, English has been widely chosen as a foreign language to study in Vietnam (Le, 2011). From its starting point as an imported language from the period of colonisation, English has now become the most popular foreign language and has been made a compulsory school subject at all levels (Nguyen, 2009; Do, 2006). As a foreign language in Vietnam, outside the classroom setting and without encouragement from a teacher, English is not spoken widely in society. One of the issues in English education in current Vietnam is the students’ communicative ability. Although Vietnamese students of English can excel in grammar and reading skills, their listening and speaking skills are much weaker. This weakness in English communication results in “[a] large number of fresh university graduates [not being] employed by foreign enterprises because of their poor English listening and speaking skills” (Anh, 2012: 119). Realising the importance of mastering communicative English skills for Vietnam’s entry into the global market, in September 2008, the Vietnam Ministry of Education and Training (MOET) issued a ‘National Foreign Language 2020 project’ to prioritise English education:

By 2020, the majority of Vietnamese graduates will have the ability to use independently and communicate confidently in English in order to learn and work in integral, multicultural, multilingual settings, making English a strength of the Vietnamese people to contribute to the nation’s industrialisation and modernisation process (Vietnam Government, 2008: 01).

#### ***1.2.1.2. The shift to constructivist learning theory***

The last few decades have also witnessed the adoption of a wide range of Western teaching and learning approaches, most noticeably, the constructivist learning theory, known as the student-centred approach. The essence of this theory is that in order to have cognitive change and obtain actual knowledge, students' received knowledge needs to go through an 'experiencing' process (Trung, 2017). This experiencing phase helps the students discover and transform the knowledge and make it their own. Constructivist learning theory also highlights the social nature of learning, such as learning-groups, whereby conceptual change and knowledge are obtained "through interaction, debate, and exchange in community" (Trung, 2017: 74).

Vietnamese education adopted the constructivist learning theory from the beginning of the 1990s when a government educational project aimed to establish constructivist-oriented schools by the early part of the 21<sup>st</sup> century. In this project, Vietnamese students are required to work collaboratively with their classmates under teachers' assistance and guidance. The idea of students working with and learning from one another is appealing not only because this approach was approved effectively from the West's advanced education, but also because it "has a connotation of cultural appropriateness, taking into account that Vietnam is a society that is culturally oriented towards collectivism rather than individualism" (Thanh, 2010: 22). To maximise the context for students' collaboration and discover knowledge on their own, the teachers are required to prepare group activities to facilitate this process. In other words, the teachers "[play] the role of "guide by the side" rather than a "sage on the stage"" (Thanh, 2010: 30).

#### **1.2.2. The challenges of Vietnam's education**

Despite the attempt to implement reforms and developmental strategies, Vietnam education still faces two main challenges. The first concern is the split opinions regarding the scale and feasibility of the educational reforms. Many scholars think that the Vietnamese government's educational plan is too ambitious in the sense that it attempts to achieve too much in such a short amount of time (Harman *et al.*, 2010). Studies such as that of Saito and Tsukui (2008) in one of Vietnam's provinces depicted the slow implementation of the education strategy by identifying teachers' reluctance to adapt to educational changes. Their study's findings show the gap

between the educational document and its actual practicality, and raise an issue that “large-scale delivery of the educational project should be critically revisited with regard to its effectiveness” (p. 571). Furthermore, the feasibility of these educational reforms is questioned due to their Western-driven tenets, which might pose a challenge in the context of local schools. In particular, the top-down reform initiated by the government seems to “oblige teachers to adopt changes” (Van Canh and Barnard, 2009: 30) without taking into consideration the traditional nature of teaching and learning in the local context. This brings us to the second challenge of Vietnam education, which is the prevailing pedagogical problems derived from Vietnam’s traditional perception of the nature of teaching and learning.

The second challenge relates to Vietnam education’s capacity to create a skilled human resource that meets the requirements of globalisation and many Vietnamese scholars believe that Vietnam’s present teaching and learning approaches are the core hindrances (Thanh, 2010; Nguyen, 2011; Tran, 2013). While the world market is looking for employees with good knowledge-based skills who have critical thinking and abilities to be independent and autonomous learners, Vietnam education seems to “[hinder] students’ independence, creativity, and problem solving capacity” (Hung, 2006: 04). Traditional teaching methods, for example, a teacher-centred approach with theory departing widely from practice (Kieu and Chau, 2012) and where students prefer rote learning (Thanh *et al.*, 2008) and show a low level of autonomy and creativity (Nguyen, 2011), are primary causes of poor performance in Vietnamese education (Tran, 2013; Thanh, 2010). Despite an ongoing effort to shift the teaching approach from teacher-centredness to student-centredness, “this process of change is very slow” (Hung, 2006: 04).

In English education,

This current pedagogical issue can be better understood by revisiting the traditional perspectives towards teaching and learning that were established in Vietnam a long time ago.

#### ***1.2.2.1. The impacts of Confucian Cultural Heritage***

As reported in much research, the current passiveness in Vietnamese education is perpetuated due to an extant root in sociocultural factors, and the Confucian cultural heritage that has existed in Vietnam for thousands of years (Hiep, 2005; Nguyen,

2011). Confucian cultural heritage and its impacts on education are significant as it leaves a legacy of specific educational values and norms. Under this cultural heritage, the teacher-student relationship is typically hierarchical (Nguyen, 2011). Students are expected to respect and obey their teachers. They are also required to maintain harmony and avoid hurting others' feelings, especially the elderly and teachers. Given such distinguishing educational values, in conjunction with the hierarchical nature of the education system, Vietnamese teachers are even more privileged in terms of power relations due to the position they hold. For example, according to Bao (2014), students' inactiveness, particularly students' silence and reticence, can reflect the status of the teachers as authorities in the classroom. The students, according to this research, are well aware of the teachers' authority over the interaction, "the teacher who decides who talks, when to talk, what to say, how to say it and when to stop" (Bao, 2014: 133). Moreover, the power imbalance between teachers and students also poses a challenge for students to openly co-construct discussion (Hiep, 2005). Studies have also confirmed the pervasiveness of a common pattern of teacher-initiation, student-response and teacher-follow/evaluation (IRF/IRE) in many Vietnamese classrooms (Tran, 2008, cited in Bao, 2014). The observation of Oanh and Hien (2006) similarly reveals how such common classroom discourse permeates by providing a precise description of Vietnamese classrooms:

The most common type of Vietnamese classroom is one in which the students sit in a fixed row in class, try to understand what the teacher and textbook say, and then repeat this information as correctly as possible in an examination. Teachers provide information for the students to learn by heart for examinations. The teacher or the book gives out knowledge to the students, like pouring water from a so-called full pitcher (the teacher full of knowledge) into a so-called empty glass (the student's mind). In such a context, the prevailing model of teaching and learning is "teachers teach and students learn". In class, students are expected to listen rather than participate actively. Therefore, the knowledge learned is limited, and the students are not motivated to learn beyond the exam (p. 35).

Another scholar also adds that changing this teaching-learning approach is extremely difficult "because they have become cultural characteristics" (Thanh, 2010: 29). Since these cultural characteristics have existed for such a long time, people have accepted them as being an ordinary process of obtaining knowledge. It is therefore the case that "even when students can discover knowledge by themselves, they like

to show that they still need the teacher by such behaviour as keeping silent and listening to the teachers” (Nguyen, 2005: 05).

#### ***1.2.2.2. Vietnamese teachers – cultural and historical figures***

The adoption of constructivist learning theory (section 1.2.1.2.) actually creates “a shift in the roles of teachers and students, which have been culturally and historically established” (T. M. H. Nguyen, 2015: 07). In Vietnam society, teaching is considered a very noble and glorious profession. Teachers are loved and highly respected because society acknowledges them as the main knowledge source, a determinant for the success of the younger generation who will be those in charge of the development of the whole country in the future. One can understand the important role of Vietnamese teachers by looking at the rich collection of Vietnamese proverbs, folksongs and poems. Some most popular Vietnamese proverbs are:

***‘Không thầy đố mày làm nên’***

*(Without your teachers, you will certainly not succeed)*

***‘Muốn sang thì bắc cầu kiều***

***Muốn con hay chữ thì yêu lấy thầy***

*(If you want to cross a river, you need to build a bridge*

*If you want your children to succeed, you need to respect and love the teachers)*

These first two proverbs are well known in Vietnam society to highlight the indispensable role of a teacher for one’s education and success. By giving prominence to the teacher, these proverbs also suggest the students’ absolute dependency on the teacher to achieve knowledge. The teacher is the highest symbol of knowledge and the value of their knowledge can be depicted from another popular proverb:

***"Nhất tự vi sư, bán tự vi sư"***

*(One who teaches you a word is your teacher; one who teaches you half a word is also your teacher)*

In addition to their knowledge, Vietnamese teachers are very respected owing to their love, energy and care when educating the new generation. Given the fact that the teachers take full responsibility for students’ success and learners often have

different learning phases, being a teacher also means having the patience and love to support the weaker learners to gain knowledge. The teachers' merits are hence regarded equally to that of learners' parents:

***“Công cha, áo mẹ, chữ thầy”***

*(Your mother gives you life, your dad raises you, your teacher teaches you)*

***“Ăn quả nhớ kẻ trồng cây”***

*(Don't forget the person who grew the fruits you are eating)*

Owing to their contribution to society, there are a great number of proverbs to show gratitude and respect to teachers. These gratitude and respectful behaviours are considered even more important than the knowledge students are going to obtain as the slogans in most of Vietnamese schools indicate: ‘Tiên học lễ, hậu học văn’ (study manners first, then read and write) as seen in picture 1.1. This slogan creates a reminder for the students to have appropriate manners in the school context, particularly, showing respect, gratitude and obedience to their teachers.



Picture 1.1. Giving awards for excellent students, Lê Văn Tám secondary school

One can understand the love Vietnamese teachers receive from society by observing the celebration of Vietnamese teachers' day that is held annually on the 20<sup>th</sup> of November. Vietnam first celebrated this event in 1958. Vietnamese teachers' day was inspired by 'Day of International Charter of Educators' established by

Federation Internationale Syndicale des L'Enseignants (FISE, a united international education union in Paris).

Vietnamese teachers' day is one of the biggest education festivals for teachers nationwide. On this day, students, parents and society show their gratitude, respect and honour to the teachers in all subjects and positions. Schools and educational institutions across Vietnam often postpone all academic activities and replace them with activities to entertain teachers, for example, talk shows to appreciate teachers' merits, students' dancing performances and singing songs and so on (picture 1.2). It is a very common tradition on this day for Vietnamese teachers to receive many flowers and gifts from the students and the organisations where they work.



Picture 1.2. Singing and dancing performance to celebrate Vietnamese teachers' day, Đoàn Thị Điểm primary school, Hanoi

This section has demonstrated the historical and cultural attitudes of Vietnamese society to the noble positions of the teachers. This highly appreciated position of Vietnamese teachers provides the valuable context for the positioning of this study's focus, which is discussed in the following section.

### 1.2.3. Framing the current research

As one challenges of Vietnamese education mentioned earlier, research into teaching English in Vietnamese classrooms has reported that changing traditional teaching methods to a more effective and highly interactional approach, such as CLT, remains challenging (Le, 2011; Thanh, 2011). Factors militating the effective implementation of CLT in Vietnam includes both systemic and practical ones. While the systemic factors comprise “constraints such as traditional examinations, large class sizes, [and] beliefs about teacher and student role, and classroom relationships”, practical constraints include “students’ low motivation and unequal ability to take part in independent active learning practices, and...teachers’ limited expertise in creating communicative activities like group work.” (Pham, 2007: 200).

Among these constraints, the beliefs about teacher and student role and classroom relationship are considered to be the key factors affecting the implementation of CLT. In particular, the traditional teachers’ role rooted in Vietnam’s sociocultural factors, drawing from the review of Vietnamese teachers’ traditional positions in previous section, seems in conflict with what is required by the current educational reforms and CLT approach. This issue is realised and established in many current English classroom studies in Vietnam (Hung, 2006; Pham, 2016; Thao-Do *et al.*, 2016). Pham (2005: 08) even argues that “to adopt CLT as a new teaching approach within a traditional education would require rethinking and adjustment of some long-held beliefs and values. For example, assumptions about the teacher’s role as controller and provider of knowledge might need to be adjusted”. Indeed, while CLT approach emphasises communication of meaning and interaction, focus on form and grammatical practice have been permeated in English language teaching in Vietnam. The change from subject content knowledge to learning process constitutes “a challenge for teachers who align with a transactional and instructional approach to classroom pedagogy, and for teachers whose expertise rests on their mastery of the grammatical system and on culturally situated features of English language use” (Kiely, 2014: 208).

Besides, CLT approach promotes a shift from the traditional teacher-centred approach to a more engaging and student-centred approach (Hiep, 2005). It is challenging for this shift to occur because the decentralisation movement in education partially “[breaks] down ‘hierarchic barriers in the classroom’” (Larsen-



Freeman, 2000: 66), pre-existing power relations, and puts the students as the focus of the teaching-learning process. A student-led and unpredictable teaching focus also requires teachers to acquire new skills in managing class and facilitating interaction. These are challenges for “teachers focusing on sentence-level accuracy, both in performing their own expertise and teacher identity and in focusing students on learning. (Kiely, 2014: 208)

Such changes in teaching and learning approach, as argued in the present thesis, is essentially related to the notion of teachers’ identity construction in the classroom since “a language teacher’s personal and professional identity...impacts every decision they make” (Harbon, 2017: 178). The requirements in teaching technique and methodology changes do not merely amount to different sets of classroom activities and how classroom tasks are managed, but fundamentally the teachers’ positioning and how they negotiate their identities within these activities. These identity negotiations and positionings are therefore worth being explored in the grammar-focus teaching setting where normative, conventional teacher identities and roles teachers have been prolonged and permeated.

Realising that the sociocultural factors are hindrances to changes in education in Vietnam and the adoption of CLT, researchers have shown great interest in uncovering the perceptions of Vietnamese teachers, the challenges faced by those in the role and their status in the current context, from various perspectives. Current research comes from fields associated with classroom management, students’ learning autonomy, task design and the perception of teachers and students (Lewis and McCook, 2002; Rao, 2002; Thanh, 2010). The majority of these studies examine data obtained from classroom observation, questionnaires and interviews. There are a limited numbers of studies that take interaction and classroom discourse as a point of departure. In addition, these studies only revealed the most common patterns of classroom interaction (IRF/IRE) and were not able to link their findings with social and cultural aspects of the Vietnamese context.

This thesis, by looking specifically at teacher identity construction in classroom discourse, aims to pinpoint how teachers’ identity construction takes place in the classroom through actual episodes of classroom talk. Specifically, the study adopts Bucholtz and Hall (2005) sociocultural linguistic approach to analyse the classroom interaction. Examining the identity work of Vietnamese teachers from this

perspective can not only shed light on how Vietnamese teachers do identity work, but also establish a platform for the further investigation of the gap (if any) between the conventional identities, those that have been tied to Vietnamese teachers from normative social perspectives, and the new identities required in new teaching methodologies aroused from CLT. The findings of this thesis, therefore, contribute to the current line of enquiry on the slow success of CLT implementation through the lenses of classroom discourse and Vietnamese teacher identities.

Moreover, educational research exploring teachers' beliefs about the value of CLT, Vietnamese teachers hold a very positive attitude about implementing CLT in their practice; however, they have difficulty translating those beliefs into their classroom practice (Pham, 2007). The reason for such confusion derives from the fact that the concepts of CLT is often left for teachers to perceive and implement idiosyncratically (Ngoc and Iwashita, 2012). In other words, teachers are often equipped with CLT concepts theoretically without specific examples of how such notions can be realized in the actual classroom interaction. This is the practical space that the present study aims to occupy. Specifically, pinpointing specific discursive episodes of how Vietnamese teachers' identities emerges and enacted in classroom discourse, the study seeks to provide situated learning opportunities for current Vietnamese teacher training courses. With such an aim, the study hopes to aid the identity transition that Vietnamese teachers encounter when putting into practice the ideas of CLT approach.

### **1.3. Aims and research questions**

Drawing on knowledge of the previously discussed context, this research explores how Vietnamese teachers negotiate and construct their identities in classroom discourse in the context of shifting teaching and learning approaches in Vietnam. A deeper understanding of these areas could pave the way for future research in shaping practice within English classrooms in Vietnam. Insights and understanding of teachers' formation of identities can be included in teacher training programmes as reflective practice to empower teachers and enable them to understand the complexity of teachers' identities. This, in turn, is beneficial in terms of assisting teachers to negotiate their role and position in the classroom, and hence improve their ability to design and manage classroom tasks and content. Addressing the balance of power relations in the classroom can lead to a more effective English

learning environment. By doing so, I believe that Vietnam could more effectively reach the goals set in the educational reforms.

In order to progress towards these aims, this research will address the following questions:

1. How are Vietnamese teachers' identities constructed and negotiated in the classroom?
  - What are the key features of these Vietnamese teachers' identity construction? What identities are enacted in the classroom?
  - What are the strategies and processes that the teachers employ to construct and mobilise their identities?
2. How can the findings of Vietnamese teachers' identities add insights to current teaching and learning practices, as well as teacher education in Vietnam?

To address these research questions, it is essential to look at the theoretical background of teacher's identities and power relations in the classroom, which are presented in chapter II. Chapter II also discusses the definition and function of code-switching, humour and the conceptualisation of facework in language classrooms, as these strategies and processes are identified as the discursive strategies employed by Vietnamese teachers to negotiate their identities. Chapter III details the research paradigm and methodology, research instruments, data collection procedure and how data were processed and interpreted to generate findings. Chapter IV is the first analytic chapter, where I investigate teachers' identity construction in relation to code-switching phenomena. The second analytic chapter, chapter V, explores the relationship between Vietnamese teachers' identities and their use of humour. Chapter VI examines how facework is done between teachers and students, and how teachers' identities can be constructed and mobilised from teachers' doing facework. The discussion of findings drawn from the analysis is presented in Chapter VII. This chapter also addresses the research questions and suggests the study's implications on micro and macro levels. The thesis ends with chapter VIII – the conclusion chapter – where a summary of the procedure and main findings of this thesis are provided.

## **Chapter II – Literature Review**

Prior to investigating Vietnamese teachers' identities, it is essential to understand the conceptualisation of identity formation theorised in previous studies. Reviewing the development of identity creates a foundational understanding of this complex concept and enables me to explain the position of this research from a sociocultural linguistic approach. This chapter therefore begins with a review of the development of the identity concept from essentialism to a social constructionism point of view. After that it introduces and outlines the principles of the sociocultural linguistics approach to identity – the analytical approach that used in this current study. After a general understanding of identity construction is established, teachers' identities are considered with regard to what constitutes the key aspects of teacher identities. Particularly, since power relations in classroom discourse are identified as a prominent factor in understanding teachers' identities (Varghese *et al.*, 2005), the concept of power is also reviewed in this chapter involving a recap of power in education, and teachers' and students' power in the classroom. It is followed by a discussion of three strategies used by Vietnamese teachers to negotiate their identity construction, namely code-switching, humour and negotiation of face. The theoretical development of these discursive strategies and processes are outlined, such as their definition, typology, functions and relationship with identity formation. The chapter ends with a summary of key points regarding these three prominent areas of theory.

### **2.1. Identity conceptualisation**

Researchers and scholars in sociology, psychology and sociolinguistics have agreed on the complexity and elusiveness of this concept due to its extensive involvement in such a wide variety of social science fields (Beauchamp and Thomas, 2009). From gender/sex to politics, national identity and so on, the concept of identity has been seen as relevant in terms of elucidating how human beings conceptualise the 'self' in different aspects of life. In brief, the development of identity formation theory has evolved from essentialist, anti-essentialist and postmodernist perspectives (Cerulo, 1997).

### 2.1.1. The essentialist view of identity

#### 2.1.1.1. *Identity as the essence-prior-existence of the self*

Before revisiting some of the key concepts, this complex notion will be approached by using a definition taken from the Longman dictionary of contemporary English. According to this dictionary, identity is the *qualities and attitudes* that a person or a group of people *have*, that make them *different from other people*. The first two key words – ‘the qualities and attitudes’ – in this definition are taken as the departure point to revisit the definition of identity from the essentialist perspective. From this viewpoint, identity is drawn from the broader concept of the idea of the ‘self’ which is referred to as “...a singular, unified, stable essence that [is] little affected by biography” (Day *et al.*, 2006: 602 based on Cooley, 1902). Identity is associated with qualities or the essences that individuals have which are set and pre-discursive (Benwell and Stokoe, 2006b). This viewpoint emerged from the Enlightenment movement with its remarkable idea of humanism, which emphasises the power of individuals and their ability to be rational and self-sufficient (Benwell and Stokoe, 2006b). Under this principle, the construction of the self relies on the ability of an individual to constantly and internally locate himself or herself from experience to create a system of concepts that is distinct and identifiable to that individual (Day *et al.*, 2006). Putting it more precisely, “the self is...created by the accumulation of experience and knowledge in the mind” (Benwell and Stokoe, 2006b: 19). Moving onto the later period of the Romanticism, this idea of identity as a self-project is sustained, albeit with a little refocusing on the identity concept; unlike the Enlightenment period, Romanticism stressed the need to find the ‘true’ and ‘authentic’ self, the “inner impulse or conviction which tells us of the importance of our own natural fulfilment” (Taylor, 1989: 369-70 cited in Benwell and Stokoe, 2006b). By linking the self’s accountability for obtaining one’s fulfilment to the uniqueness of one’s identity, Romanticism’s identity concept echoed the idea of identity as a project of the self. Although the procedure to achieve the sense of self under the essentialist viewpoint is critiqued due to its disregard for the socialisation process, it can be observed that this view of seeing identity as ‘the project of the self’ still permeates through society today. However, through access to books, magazines and resources for ‘self-help’ or ‘self-improvement’, it is evident that essentialism’s concept of self is today deeply rooted in our society.

#### ***2.1.1.2. Collective identity – the beginning of a social self***

Drawing from the basic sociological theories of Marx's 'class consciousness' and Durkheim's 'collective conscience', which put emphasis on the 'we-ness' of the group, the identification process of the self is not merely as personal and internally located as in traditional treatment. Alternatively, it is the combination of personal and collective identity (Versluys, 2007). Early treatment of 'collective identity' has elaborated on the requirement of group members to share similarities and attributes; these similarities are "qualities emerging from psychological traits, psychological predispositions, regional features, or the properties of structural locations" (Cerulo, 1997: 386-387). As a collective member of the group, an individual is believed to internalise these qualities, indicating that the social experience of the collective members is singular and undivided. The self is hence believed not to exist in a vacuum, yet is defined in relation to its membership in a group or groups. This conceptual shift paves the way for an investigation of group labels, for example 'black', 'working class' and their social variables, which are linked to identity formation. The groups' behaviours and linguistic usage are also measured under these group labels, which are further developed using Social Identity Theory (SIT) and Variationist Sociolinguistics.

Developed by psychologist Tajfel and his colleagues, identities in SIT are explored in relation to ingroup and outgroup identity. Specifically, "the ingroup is the one to which an individual 'belongs' and the 'outgroup' is seen as 'outside' and different from this group" (Benwell and Stokoe, 2006b: 25). Meanwhile, as demonstrated in the study by Labov (1972), Variationist Sociolinguistics expands the relationship between language and collective identity. In his research, Labov explored the correlation between the habits of language use and social class, age and gender. He found that people from lower classes tend to drop the 'rs' sounds in interactions to a greater extent than those from higher classes. He also realised the way in which some people adapted to the social class they wanted to be associated with. This means that by drawing from certain linguistic repertoires, social actors can perform various identities.

Regardless of the attempt to bring social factors into identity conceptualisation, collective identity/group identity accounts have faced criticism due to the direct mapping of social and linguistic behaviours onto certain social identities/

categorisations (Coupland, 2008). The operation of such direct mapping hints at the existence of a group's attributions and existing schemas, and bears a strong resemblance to the essentialist view of identity.

### **2.1.2. Identity as a social construction – the anti-essentialist view**

One of the greatest weaknesses of previous research on identity is the supposition that identities are static and fixed. They are attributes of individuals or groups rather than of situations. As opposed to the unified and unchangeable status of identity, anti-essentialism argues that the self is not firmly situated in the individual's mind. Identities are not property that one possesses and hence predetermined features or qualities that belong to a collective member in essentialism should be discarded. On the other hand, as pointed out by George Herbert Mead (1934) the anti-essentialist view of identity advocates the social nature of identities. According to Mead, we learn a great deal about how others play a role or 'fit in' simply by observing them performing in their roles. People do not have a fixed set of identities; rather, we constantly change our identity and interpret who we are as the social context changes from one setting to another. A sense of self is therefore defined by the context and those individuals surrounding it. We can watch others and put them into groups, but we also categorise ourselves and put ourselves into groups based on how we feel we fit in or how others perceive that we fit in. Drawing from this, Mead analyses the self as situated in everyday life and therefore theorised identity as contingently produced *through interaction* (Benwell and Stokoe, 2006b).

Concurring with Mead's point, social observers have added that our modern lives are characterised by uncertainty, fracture, and physical and social displacement, which results in an awareness of their lack of continuity and permanence in both their personal life and the environment among modern people (Giddens, 1991). These multifaceted features of human life give each individual different roles when they participate in a given time and situation (Day *et al.*, 2006; Akkerman and Meijer, 2011). The construction of self is now "decentralized into a multiplicity of social and situated contexts" (Akkerman and Meijer, 2011: 309). It is common for people to relate to 'roles' and their positions in society when thinking about identity. For example, I can think of myself as Nhung Nguyen. However, I am also a daughter, an English teacher at Haiphong University, and a student at the University where I am conducting my PhD research; I am also a woman from a Southeast Asian country,

and so forth. This means that as individuals, we have a number of different identities, which are negotiated and enacted at different points in an interaction. Indeed, these identities are directly related to the context that we are in.

Another contributor to the anti-essentialist movement is Judith Butler with her performativity concept developed from a famous British philosopher of language, John Langshaw Austin. In her work (1990) situated in gender studies, Butler argues that identity is not defined in terms of core or fixed characteristics, instead it is constructed flexibly. Rather than being one's property, identity is something that one does and performs through discourses and interactions between interactants. She claims that "what it means to be a man or a woman, or a member of any social category, is not only contextually variable and open to continuous redefinitions, but is also related to actions and behaviours as much as to feelings and thoughts" (De Fina *et al.*, 2006: 266). The concept of performativity is influential in identity studies as it provokes the concrete and communicative aspects of identity construction. What has arisen from this movement is the proposed idea that identity is not an independent entity but is *socially constructed in interaction*, or in other words, people jointly construct and create identities in interactions. Hence, as stressed by Hall (2000: 17) identity should be considered as *a process* rather than an attribute or a set of attributes:

Identification is, then, a process of articulation, a suturing, an over-determination not subsumption. There is always 'too much' or 'too little' – an over-determination or a lack, but never a proper fit, a totality. Like all signifying practices, it is subject to the 'play' of difference. It obeys the logic of more-than-one. And since as a process it operates difference, it entails discursive work, the binding and marking of symbolic boundaries, the production of 'frontier-effects'. It requires what is left outside, its constitutive outside, to consolidate the process.

Thus far, drawing on the historical review of identity conceptualisation from the perspectives of essentialism and anti-essentialism, several points can be concluded and put forward:

- Identity is not monolithic. Instead, there are multiple identities which can change and be enacted over the course of a conversation (Miyahara, 2015).
- Identity is not an independently existing reality outside the individual; instead, it is socially constructed by individuals and this process is immanent to language and social interaction (De Fina, 2010).



- The study of identity construction is indelibly linked with discourse and language (Bucholtz and Hall, 2005).

## **2.2. The social-constructionist view of identities**

The development of identity conceptualisation has taken an important turn whereby several key premises are established, such as the rejection of the person as the locus of identities, being constructed rather than a mental product. Within this conceptual shift, interaction and discourse are centralised as the site for identity construction. As one of the social processes, interaction is seen by many as the most essential aspect of social life (Bucholtz and Hall, 2010). Through interaction, people can obtain knowledge and exchange information with one another. In terms of identity work, interaction is seen as the central enactment and negotiation of identity. Despite the role of numerous symbol systems used to express identity, such as clothing and non-verbal communication, interaction forms the most privileged and complex system as it offers opportunities to express ourselves and convey meaning in different ways (Bamberg *et al.*, 2011). The assumption that language is the main instrument for the negotiation and construction of identity is central in social constructionism as this approach allows researchers to investigate “how people perform, ascribe and resist identity, and how what it means to ‘have an identity’ is produced in talk and text of all kinds” (Benwell and Stokoe, 2006a: 10). This explains why social actors can act differently at different moments during the interaction, which in turn might establish and construct various different identities (Schnurr, 2012).

Social constructionists view social realities and identities as discursive, constantly enacted and constructed in interactions, a process that is relational and context dependent (Young, 2009). In response to the previous simplistic view suggesting a direct link between certain linguistics behaviour and certain identities, social constructionists argue that this relationship is much more complex. Indeed, social interaction and practices “provide the frames and the limits within which interactants select the linguistic and strategic resources for identity presentations and negotiations” (De Fina, 2010: 207). In order to understand how identities are enacted and negotiated, it is crucial that the analysis of identity construction should not focus solely on isolated linguistic items; however multiple levels and different strategies should be utilised in the process (Bucholtz and Hall, 2005). Established by Mary Bucholtz and Kira Hall (2005), all of these key ideas have been developed into a

five-principle framework to analyse identity construction. It is this crucial framework that I will now turn to.

### **2.3. A sociocultural linguistic approach to identity**

Bucholtz and Hall (2005) propose an exhaustive analytical framework to study identity construction, which is synthesised and conducted across many identity frameworks and conceptualisations. The five principles are: (i) the emergence principle, (ii) the positionality principle, (iii) the indexicality principle, (iv) the relational principle and (v) the partialness principle.

#### **(i) The emergence principle**

Bucholtz and Hall (2005) identify identities as *emergent phenomena*, which materialize from the linguistic practices, not a fixed or predictable product. Identity is emergent in the sense that it is constantly enacted and negotiated in relation to other people and the context that individuals are in.

Identity is best viewed as the emergent product rather than the pre-existing source of linguistic and other semiotic practices and therefore as fundamentally a social and cultural phenomenon (Bucholtz and Hall, 2005: 588).

#### **(ii) The positionality principle**

This principle stresses the complex construction of identity, which brings together the various categories from the macro to local levels, positions, stances and roles. It is through the temporary roles and the contingency of the discourse that the subject's identity is constantly positioned and constructed in relation to both large and local categories. In other words, the subject will not only position themselves according to their temporary roles, but at the same time other identity categories will be evoked.

Identities encompass (a) macro-level demographic categories; (b) local, ethnographically specific cultural positions; and (c) temporary and interactionally specific stances and participant roles (Bucholtz and Hall, 2005: 592).

#### **(iii) The indexicality principle**

This principle concerns the mechanism, indexicality, in the constitution of identity. Essentially, indexicality is the mechanism by which a semiotic link between linguistic forms and social meaning is created. The interactional context is crucial for

an index to be meaningful; this puts emphasis on the role of culture, value and belief in indexicality, since language and identity are rooted in ideologies.

Identity relations emerge in interaction through several related indexical processes, including: (a) overt mention of identity categories and labels; (b) implicatures and presuppositions regarding one's own or others' identity position; (c) displayed evaluative and epistemic orientations to ongoing talk, as well as interactional footings and participant roles; and (d) the use of linguistic structures and systems that are ideologically associated with specific personas and groups (Bucholtz and Hall, 2005: 594).

This principle outlines four indexical processes through which identities are constructed in interaction. These direct and indirect strategies outline how different stances (evaluative, epistemic, and affective orientations) are evoked in discourse, as well as highlighting how people position themselves and others through such stances.

#### **(iv) The relational principle**

One of the most prominent principles in this framework is the relational principle, which stresses that identity is a relational phenomenon. In other words, identity is never the independent and isolated work of an individual but instead has to be placed in relation to others. This process operates through multiple complementary relations.

Identities are intersubjectively constructed through several, often overlapping, complementary relations, including similarity/difference, genuineness/artifice, and authority/delegitimacy (Bucholtz and Hall, 2005: 598).

The first pair of identity relations is similarity/difference (termed as adequation/distinction in Bucholtz and Hall's framework), which refers to the construction of one's identities depending on both the similarities and differences in relation to others. 'Similarity' here should not be misunderstood as identical; rather, it should be understood as sufficient similarity for the purpose of the current interaction. Consequently, if there are irrelevant differences that disrupt this process of forming adequation between individuals or groups, they will be downplayed. This also applies to the counterpart, difference. The construction of difference also relies on the suppression of irrelevant similarities between individuals or groups. The second pair, genuineness/artifice, refers to whether an individual's claimed identities are

seen as genuine or artificial by others. The last pair, authority/delegitimacy, “[involves] the attempt to legitimate an identity through an institutional or other authority, or conversely the effort to withhold or withdraw such structural power” (Bucholtz and Hall, 2004: 386).

**(v) The partialness principle**

The last principle notes the incomplete and in-process features of identity construction. Since identity is relational and constantly reconfigured according to the contextual interaction between the self and others, it is always partial.

Any given construction of identity may be in part deliberate and intentional, in part habitual and hence often less than fully conscious, in part an outcome of interactional negotiation and contestation, in part an outcome of others’ perceptions and representations, and in part an effect of larger ideological processes and material structures that may become relevant to interaction. It is therefore constantly shifting both as interaction unfolds and across discourse contexts (Bucholtz and Hall, 2005: 606).

This principle takes into account the longstanding issues in identity studies that revolve around the role of agency in constructing identities. Agency in this framework is not “conceptualized as located within an individual rational subject who consciously authors his identity without structural constraints” (Bucholtz and Hall, 2005: 606). The conceptualisation of agency in this principle is redefined as the accomplishment of social action. Furthermore, it is highlighted that there are multiple dimensions of identity.

The five-principle framework proposed by Bucholtz and Hall captures the current and crucial trends in the study of identity construction. The investigation of Vietnamese teachers’ identities in this research follows the premise set out in this framework, i.e., investigating the constant enactment and construction of teachers’ identities during classroom interaction.

In alignment with the conceptualisation of identity discussed in sections 2.1 and 2.2 the following section focuses on the notion of teacher identity, beginning with an overview of previous studies that constitute the foundation for the study of teacher identity. From there, the concept of teacher identity is discussed in relation to the professional identity of teachers. This is followed by a debate regarding language

teachers' identities (TESOL/ English as a Foreign Language (EFL) teachers), focusing on key trends and findings.

## **2.4. Teacher identities in education**

Teacher identity is an increasingly used term in a great deal of education-related research (Zacharias, 2010; Williams, 2007), and has an impact on teacher education programmes, teacher development (Beauchamp and Thomas, 2009) and teacher learning (Marte and Wang, 2014). However, this term has only recently emerged from an extensive and ongoing intellectual path. Rooted in educational research, many studies have been conducted to examine various topics and areas that preceded teacher identity research. These studies include topics around teacher knowledge and beliefs, professional development, reflective practice and so on. The effort and attention that has been paid to several research topics under different labels can be regarded as the precursors of teacher identity research. The following sections will therefore briefly review some of the key trends and movements preceding the establishment of teacher identity studies.

### **2.4.1. Teacher knowledge and beliefs**

What it means to be a teacher can be generally drawn from what constitutes teachers' work and life domains. If work refers to what teachers do, for instance, managing teaching tasks and assessing and interacting with students, then life involves personal areas, including beliefs, values, expectations and emotions. Teacher identity is, therefore, understood according to two complex dimensions, knowledge and beliefs (Bukor, 2011).

What constitutes the knowledge that enables teachers to function effectively in the classroom has been extensively studied and is considered an important component in teacher education research. Traditionally, teacher knowledge has been closely linked to the concept of 'received knowledge' (Wallace, 1991), which focuses on "mastering the specific content one was to teach and separately mastering methodologies for conveying the content to learners" (Freeman, 2002: 04). Knowledge is then separated, extended and divided into different categories and disciplines to be used widely in professional preparation. This subsequently resulted in the establishment of the professionalization of teaching, with fixed categories of content and processes to evaluate what teachers know and can do (Freeman, 2002).

Later research, from 1980 to 1990, gradually shifted to teachers' mental lives, which concerns the ways teachers learn content, their teaching practice and their mental process (Ball, 2000). During this movement, teacher's thinking and mental processes were largely examined in relation to their decision-making processes.

Although research into teachers' decision-making processes provides a widely applicable unit of analysis across different classroom settings and disciplines, an emerging interpretative paradigm reveals the close integration between content and teaching process (Health, 1983, cited in Freeman, 2002). The concept of this integration led to the development of Shulman's 'pedagogical content knowledge' (PCK) (1987). According to Shulman (1986), teacher knowledge is divided into 'content knowledge' and 'pedagogical knowledge'. Content knowledge entails subject matter knowledge, PCK (how the subject matter should be organised for teaching and learning), and curricular knowledge (instructional materials and programmes designed for particular subjects or topics) (Shulman, 1986). From his observation, Shulman argues that there has been a focus on how to teach in general rather than how to teach a specific subject. As a result, he departs from general pedagogical knowledge and establishes a PCK frame, which proposes a hybrid of both content and pedagogical knowledge. This classification of teachers' knowledge is adopted and developed by later researchers. For example, Grossman (1990: 08) includes students' prior knowledge and concept of the subject matter in teachers' knowledge "to formulate appropriate and provocative representations of the content to be learned".

Similar to the PCK construct, Clandinin (1985: 362) suggests a crucial role of personal and practical knowledge upon which teachers can work:

Personal practical knowledge is knowledge which is imbued with all the experiences that make up a person's being. Its meaning is derived from, and understood in terms of, a person's experiential history, both professional and personal.

This movement marks a shift away from courses with received knowledge, which are theory-based, and rebalances courses towards experiential knowledge, which focuses on teachers' reflection of knowledge-in-action (Wallace, 1991). In this regard, the role of schools and previous educational experience is significant, as these factors influence how student teachers learn and extract knowledge from

previous courses (Calderhead and Robson, 1991). This body of literature stresses the function of the ‘apprenticeship’ period, “which leads to the development of a body of values, commitments, orientations and practices” (Calderhead and Robson, 1991: 01). Later research developed this towards the notion of ‘personal practice knowledge’ (Connelly and Clandinin, 1999), which refers to the integration of several aspects of knowledge and teachers’ cognitive system. From this viewpoint, knowledge is created from teachers’ previous experience, their everyday lives and their practice.

Given the concept of ‘personal practice knowledge’, in new teacher education programmes, teachers’ beliefs and practice knowledge are central in reconstructing the curriculum. Teachers are seen as ‘curriculum makers’ (Connelly and Clandinin, 1999) and this trend in education research marks a research movement in how their beliefs and cognition are examined in later studies. From the early 1990s, research started to shift the focus from understanding what constitutes and how to enhance teachers’ knowledge to teachers’ thinking and their belief systems. Teachers’ belief can be understood as teachers’ assumptions and understanding about the concept of teaching and learning that underpin and govern their approaches, actions and decision-making in the classroom (Garton, 2004). Studies around this area seek understanding of the sources of teachers’ belief and the relationship between teachers’ belief and practice.

Research has shown that teachers’ belief can be formed and established from various sources, such as experience and teacher education (Garton, 2004). According to Garton (2004: 22), the teachers’ experiences comprise “both previous experiences of schooling, especially as second language learners, and teaching experience”. Similarly, Richards (2006b) mentions that teachers’ beliefs and professional practices can even be formed based on principles during their own days as students. These previous experiences are also known as ‘the apprenticeship of observation’ (Borg, 2004: 274), has a very strong effect on teachers’ belief. Teachers might have received training; however, “when faced with difficult situations in the classroom, the teachers reverted to teaching that they had been taught and not in the way conducive to the learning environment that the training programme wished to encourage” (Garton and Richards, 2008: xxi). Indeed the earlier a belief is integrated in the teachers’ belief system, the harder and more resistant it is to be changed (Pajares, 1992). The

resistance aspect of teachers' belief is fundamental in considering the role of teacher education with regard to changing teachers' pre-existing and forming teachers' new beliefs. Research into this area has informed that teacher education appears to have a very limited effect on teachers' behaviours (Garton, 2004; Garton, 2009).

In addition to the investigation of the sources that teachers' belief derives from, the majority of studies have attempted to understand the consistency between teachers' belief and teacher's classroom practice. Specifically in second language (L2) teaching and learning, a great number of studies have demonstrated that there is a consistency between teachers' belief and their classroom practice (Algozzine *et al.*, 2012; Gilakjani and Sabouri, 2017; Johnson, 1992). Analysing lesson plans and transcribed classroom observations, Johnson's study (1992: 83) "revealed that literacy instruction for non-native speakers of English was consistent with each teacher's theoretical orientation". The study indicates that each teacher has a determined belief that falls into one of the three pedagogical approaches: skill-based, function-based and rule-based. Likewise, Algozzine *et al.*'s study (2012) also confirms the consistency between teachers' beliefs of what are considered effective L2 teaching and their practices. However, the study also pointed out that the belief of what constitutes effective L2 teaching varies from teacher to teacher. This finding echoes one of Garton's reviews (2004: 28) that "beliefs are highly individualised and it is difficult to identify patterns across teachers".

There is a group of studies that find inconsistency between teachers' beliefs and classroom practice. However, the reasons for such inconsistency are identified as being rooted in contextual factors, such as the curriculum materials not supporting the teachers' belief or the complexity of classroom life, and the influence of evaluation and policy. It is hence suggested by research that there is a need to "tailor the training and support [offered] to current and aspiring L2 teachers to meet their specific needs and for school districts to address the obstacles that may be preventing L2 teachers from putting their beliefs into practice" (Algozzine *et al.*, 2012: 593).

Based on the assumption that "what teachers do is a reflection of what they know and believe", Richards and Lockhart (1994: 29) explored teachers' beliefs in L2 education. They claim that there are various sources from which "teachers' belief systems derive, for instance their own experiences as language learners, experience of what works best, established practice, personality factors, educationally-based or



research-based principles, and principles derived from an instructional approach or method” (Bukor, 2011: 92).

The change of focus from ‘what teachers know’ to ‘how they know what they know’ also conveys an important conceptual position of what constitutes teachers’ knowledge (Richards, 1994). Differing from the process-product paradigm, which considered knowledge as an external body of information and transferable through a direct transmission process, the expansion of research focusing on teachers’ beliefs and their experiential knowledge conceptualises teachers’ knowledge as ongoing and constructed over the course of their professional practice. This movement draws more attention to the significance of the self-development and self-awareness processes of teachers that facilitate their professional growth (Mann, 2005). Therefore, teachers’ reflection practice is an essential part of teacher learning as it accommodates teachers’ examination of their own personal and professional lives.

This brief section provides a theoretical foundation of teacher knowledge and the impact of previous experience and teacher education programmes on the development of teachers’ professional beliefs. Teachers’ knowledge and beliefs are closely interrelated regardless of the views of certain scholars of “[t]eacher knowledge or teacher cognition...as being explicit, analytical, and declarative. On the other hand, beliefs are often thought of as being implicit, tacit, and intuitive developed experientially by “doing” things” (Bukor, 2011: 94). It is argued that teachers’ knowledge and beliefs are intertwined in teachers’ professional lives and their development:

...in the mind of the teacher, components of knowledge, beliefs, conceptions, and intuitions are inextricably intertwined (Verloop *et al.*, 2001: 446).

The following section takes into account the concept of teacher identity, which is based on the reviewed literature involving teachers’ knowledge and beliefs as well as their professional development and the role of practice in education studies. Prior to the discussion of teacher identities, it is necessary to stress that the body of identity research in education has been strongly influenced by the conceptualisation and exploration of identity formation in other disciplines, such as psychology, sociology, social anthropology and social psychology.

#### **2.4.2. Teachers' professional identities**

The majority of researchers have explored teacher identity specifically in terms of professional aspects, such as their professional identity and perceptions regarding their professional roles in the classroom. It has been argued that there are close relationships among professional identity, classroom practice, teacher knowledge, beliefs and attitudes. As described by Kelchtermans (1993), teachers' professional self is considered as "a conception about themselves as a teacher and a system of knowledge and beliefs concerning 'teaching' as a professional activity" (p. 447). Furthermore, professional identities are not regarded as fixed or unitary but rather as multiple, fragmented, and prone to change (Beauchamp and Thomas, 2009), and it is through classroom practice that they are enacted (Coldron and Smith, 1999). Cooper and Olson (1996) emphasise that professional identity is multifaceted, multi-layered and dynamic. Moreover, the development and shape of teacher identity involves various aspects, such as historical, sociological, psychological, and cultural influences.

Studies that embarked on teacher identity have found a close connection between identity formation, practice and experience, suggesting that identity is constructed from lived experience through participating in particular communities (Wenger, 2000). The professional identity is discussed in Sachs (2005: 15) who advocates this point by stating:

Teacher professional identity then stands at the core of the teaching profession. It provides a framework for teachers to construct their own ideas of 'how to be', 'how to act' and 'how to understand' their work and their place in society. Importantly, teacher identity is not something that is fixed nor is it imposed; rather it is negotiated through experience and the sense that is made of that experience.

The professional identity of teachers has been described as a combination of "the teacher as a subject matter expert, the teacher as a pedagogical expert, and the teacher as a didactical expert" (Beijaard *et al.*, 2000: 750). As demonstrated by Beijaard *et al.* (2000), there are several influencing factors in the development of this professional identity, including the teaching context, teaching experiences, and the biography of the teacher. Also, teachers' perceptions of themselves change across their teaching career. This is also reported by Roberts (2016), who states: "a teaching identity develops through exchange between our personal theories and self-concept

on the one hand, and the demands of our social and occupational context on the other” (p. 22).

Several studies have explored teachers’ beliefs regarding their professional roles in the classroom and how these self-perceptions are connected to self-image, which can be seen as a sub-category of professional identity. Using metaphoric pictures of occupations to uncover teachers’ professional selves, Ben-Peretz *et al.* (2003) pointed out that a professional self-image is shaped by practical experiences. Furthermore, the way teachers define themselves is a direct result of dynamic interactions with students, parents and principals (the significant others). This teacher’s claimed identity is explored in MacLure (1993) in terms of how teacher identity is used and talked about by teachers. It is stressed in the study that “identity is a continuing site of struggle for teachers...[i]t should not be seen as a stable entity – something that people have but something that they use, to justify, explain and make sense of themselves in relationship to other people” (MacLure, 1993: 312). Similarly, the feeling of tension between the teachers’ identities constructed over time and their professional values is also highlighted in Maguire (2008). In her study about teachers defining their identities, teacher identities are seen as “a continuing site of contestation, struggle and reworking” (Maguire, 2008: 45). Shifting the focus onto the identities of language teachers, the following section reviews the theoretical frameworks used to investigate language teacher identity and presents the key issues and findings.

#### **2.4.3. Language Teacher Identities (LTI)**

When the TESOL/EFL profession began to emerge, language teachers were simply seen as technicians who only needed to learn the right ways to teach. As a consequence, not much attention was paid to issue of identities, and research on this topic was scarce (Trejo-Guzman, 2009). However, owing to the increase of classroom research over the past decade or so, there is a growing awareness of the central role that language teachers’ beliefs and identities play in classroom practices (Trejo-Guzman, 2009; Varghese *et al.*, 2005). Researchers have realised that the moment by moment decisions made by teachers in the classroom are not merely informed by the techniques and methods that they learned in workshops or training sessions, but rather that their beliefs play an important role too. As a consequence, more attention was paid to the teacher and his/her beliefs about learning, teaching

and the profession, and research began to explore some of the complex identity issues of teachers and their impact on classrooms and students (Varghese *et al.*, 2005). Although teacher identity has been an important field of research for the past 20 years, studies about LTI are still limited, yet this area is gradually growing (Donaghue, 2015).

Much research on LTI has attempted to enhance teachers' professional development, particularly, the identity development of pre-service language teachers. These studies focus on pre-service teacher identity formation during their training where identities are constructed and negotiated through interacting with significant others, previous experience and context matter (Duff and Uchida, 1997; Park, 2012). In the teacher practicum period, significant others might include mentor teachers, classmates and so on; meanwhile, when teachers are in the workforce, these significant others are likely to become colleagues, administrators and students. Researchers have also looked into how the language teachers' views of themselves as cultural beings bear upon their cultural teaching practices. Within this area of investigation, intercultural experiences and cultural affiliations influence not only the way language teachers see themselves as cultural beings, but also their approaches to teaching culture (Fichtner and Chapman, 2011; Enns-Kananen and Wang, 2016). Findings in this perspective show the struggle and tension faced by bi/multilingual language teachers in constructing their identities in relation to the language they teach. While findings about pre-service teacher identity formation have clearly contributed significant insights into the field, not much attention has been paid to exploring the identity construction of experienced language teachers. Moreover, most previous LTI research has been conducted by using narratives: "teacher narratives becoming the primary focus of a burgeoning body of LTI work" (De Costa and Norton, 2017: 06). My research, in contrast, focuses on the discursive construction of experienced teachers' identities which are emerging through the ongoing flow of classroom interaction where teachers' identities are jointly negotiated in the discourse with interactional partners (the students). Despite the differences in methodological approaches between these studies and my research (which will be revisited in section 2.4.3.2), the ideas of identity formation with significant others (students in the context of the present study) and teachers-as-cultural beings outlined in previous studies are highly relevant and of interest for my study. The following section delves

more into the theoretical conceptualisation underscoring recent and influential thinking in LTI research.

#### **2.4.3.1. Conceptualising LTI**

In their influential article on theorising LTI, which has been enthusiastically drawn on by much later research in LTI, Varghese *et al.* (2005) have pointed out two theoretical positions to conceptualise LTI more comprehensively, namely identity-in-practice and identity-in-discourse. Identity-in-practice refers to the interrelation between teacher identity and the practice teachers do as group members. In other words, “language teacher identity is seen to be constituted by the practices in relation to a group and the process of individual identification or nonidentification with the group” (Varghese *et al.*, 2005: 39). This conceptualisation of LTI is closely related to the idea of Community of Practice (Wenger, 2000), a framework that is deployed in many LTI studies, which also sees the construction of one’s identity as a process of negotiating through participating with other members of a particular community (i.e. a specific school or organisation). For instance, Trent’s study (2012) looked at how native-speaking English teachers’ discursive identities are constructed through the way they position themselves and their perceptions of how they are positioned by others in Hong Kong primary and secondary schools. Another example is Kanno and Stuart’s study (2011) of the identity development of two MA students through engaging in the ESL (English for Second Language) community of teaching practice in a U.S. university.

Located within a post-structural paradigm, the second theoretical approach, identity-in-discourse, highlights the importance of language, power, and situatedness and refers to identities that are discursively constructed. It is therefore “not a singular definition of language teacher identity, which would vary according to the context and the set of power relations as well as the discourses available to individual teachers and a community or network of teachers in that particular context” (Varghese, 2017: 46). Drawing from this approach, Higgins and Ponte (2017), for instance, explored identities of elementary school teachers during their participation in a professional development course on multilingual language learners. Using Gee’s (2001) identity framework, the analysis showed how these teachers’ professional identities were enacted in order to embrace the concepts and recommendations from the professional development course.

The third theoretical position, Morgan's (2004) notion of identity-as-pedagogy, views teacher identities as crucial recourses for pedagogy which intertwine with the lessons. Morgan developed this notion through his example where he engaged "strategic performance of a teacher's identity in ways that counteract stereotypes held by a particular group of students" (Morgan, 2004: 127). Specifically, Morgan pedagogically enacted different aspects of his identities, such as being a husband who cannot get a gold credit card without his wife's signature or someone who shops for groceries and loves cooking, to challenge gender roles perceived by his ESL learners. Mobilising identities to do so, Morgan was able to not only shift social referents and negotiate meanings of expected spouses' behaviours with his students, but also reveal "the 'dialogical' nature of identity-as-pedagogy, the notion that even identities purposely performed are necessarily co-constructed with students" (Motha *et al.*, 2012: 15). Drawing from the notion of identity-as-pedagogy, research in this regard has revealed and advocated for an embracing of a wide range of language teacher identities, for example, being a translingual teacher (Motha *et al.*, 2012; Zheng, 2017). Situated within a university setting, Zheng's (2017) study investigated the meanings of effective translinguistic teacher identities. Focusing around Sarah, an English-Arabic bilingual teacher, Zheng described how Sarah's translingual teaching approach, demonstrated through her integration and moving between various linguistic repertoires, can be beneficial for her students. Zheng, then argued for "the need to legitimize the translingual teacher identities...rather than framing them in deficit non-native English speaking teacher terms" (De Costa and Norton, 2017: 09).

The conceptualisations of LTI reviewed above is of particular interest and relevance to the present study. While identity-in-discourse underpins the thesis's theoretical position and understanding of identities (since it examines the construction of the teacher participants in on-going, co-constructed classroom discourse between interlocutors), the participants' orientation to many personal aspects revealed in my data also suggests the relevance of Morgan's notion of identity-as-pedagogy. While identity-in-practice might not underscore the analysis theoretically, the understanding that teacher identities are negotiated through practice and engaging with others is still crucial for the practical implications of the present study (i.e., a workshop, which is one of the practical outcomes of the thesis where teachers

participate, share, explore and negotiate meanings and aspects of their identities, Chapter 7, p. 193). The following section turns to the review of research methodologies deployed in previous studies, and considers the position of the current thesis methodologically.

#### ***2.4.3.2. Research methodologies for language teacher identities***

Traditional research on teacher identity is interested in finding out how teachers define themselves in the role they play inside educational organisations (Gee, 2001). Using survey questionnaires, self-reporting and structured interviews, traditional teacher identity research has primarily attempted to address the level of activity and inactivity of teachers in their occupied role. As this type of research gives primacy to institutional identity, the research outcomes provide a very limited understanding of the construction of teachers' self and identities and do not reflect the dynamic and multi-layered characteristics of teacher identity formation.

In contrast, recent identity research has paid much more attention to human action, speech and the discursive construction of identities (De Fina *et al.*, 2006). Specifically, many recent teacher identity studies are carried out with a belief that teacher professional identity can be explored by investigating episodes of teachers' talk about their experience and practice. Methods to collect data along this line of enquiry have therefore changed from structured to semi-structured/ unstructured interviews, life histories, portfolios, observations, autobiographies, reflective journals and ethnographic investigations (Trejo-Guzman, 2009). These methods capture the participants' elaboration of their identities that include both professional and personal aspects. Among other methods, life histories or narrative inquiries are seen as useful methods and have been widely used in this context. As explained by Soreide (2006: 529),

...to understand identity construction as a process of narrative positioning is useful, because it opens up an understanding of teachers as active agents in their own lives and the construction of teacher identity as a dynamic and changing activity.

Despite the insights offered by exploring language teacher identities from narrative inquiries, the work under this label has mostly focused on "larger narratives that have been written down or elicited in research interviews, and which can cover relatively long periods in teachers' lives and careers" (Gray and Morton, 2018b: 57).

Bamberg (2007) refers to these large narratives as ‘big stories’. Vásquez (2011: 539) argues that this narrative approach which mostly focusses on ‘big stories’ is problematic as such stories are less frequent and do not reflect the relational and contingent nature of identities since “who we are as humans varies according to who we are talking to, where, and for what purposes”. As an alternative for ‘big stories’, LTI research under the narrative label has shifted to ‘small stories’ which are defined as “the types of stories we tell each other when we are doing other things, such as having a conversation, teaching a class, or even participating in a research interview that is not necessarily focused on eliciting narrative” (Gray and Morton, 2018: 58). Shifting the focus to small stories can “illuminate how identities are constructed in situ and the various ways in which identities are performed in local, situated contexts” (Vásquez (2011: 539). Within the field, researchers have begun to approach teachers’ small stories for narrative analysis (Barkhuizen, 2010; Barkhuizen, 2017; Gray and Morton, 2018b; Vásquez, 2011). Barkhuizen (2010: 15), for example, investigated the future-projected narrative of Sela, a pre-service teacher and showed how Sela “positioned herself as complicit with a dominant English language teacher ideology, expressed particularly as an economic metaphor of investment, capitalization, and a better life”. He then suggested that it was necessary to offer student teachers discursive spaces to imagine themselves as future professionals since student teachers can reposition and reimagine their identities within this narrative genre.

As the exploration of teacher identity in educational research has advanced through the shift to narrative inquiry and narrative analysis, focusing more on how teacher identities are talked into being (for example, through interviews or ‘small stories’ as demonstrated in the previous section), another body of research focuses on how teachers’ identities are negotiated and emerging from classroom-based talk (Wenren, 2014; Gómez Lobatón, 2012; Park, 2008; Richards, 2006a). As the focus of the current thesis lies not in teachers’ narrated identities for research purposes, but rather in teachers’ enacted identities in ongoing, co-constructed talk between interactional partners, those studies which focus on teacher identities negotiated in classroom talk are of particular interest.

Park (2008) investigated teacher’s identity in relation to pedagogic discourse in English classrooms for students from Korean immigrant families in U.S public



schools. Focusing on micro-interaction in classrooms using Roger's (2004) framework of alignment and conflict of discourses, Park carried out Critical Discourse Analysis (CDA) to explore power hierarchies and identity tensions between teacher and students in pedagogic discourse. He found that "classroom interactions between a teacher and students represent a process of negotiation that entails a series of alignments and conflicts" (Park, 2008: 09). Moreover, in the pedagogic discourse of these particular classrooms, the teacher and students take on the respective roles of the regulator and the regulated. The teacher, as the regulator, enacted project and legitimizing identities, which are defined as the identities mainly serve "the dominant group for carrying out public authority" (ibid.: 06) (through strategies such as, making rules, threatening, joking, changing subject), while the students, as the regulated, enacted their resistance identities (through strategies such as, complaining, making fun, making excuses). However, as Park further pointed out "[t]he teacher's discourses of project and legitimizing identities for control are realized in this process, but these often meet students' discourses of resistant identity which react against the teacher's control" (ibid.: 08). What is of relevance to the current thesis lies not only in the strategies deployed for the construction of the teacher's project and legitimizing identities, but is also shown in the relational aspects of LTI construction depicted through the negotiation process between teachers and students. Moreover, the connection between identity construction, power and authority is relevant in my data.

Another highly relevant study is Richards (2006), which focuses on discursive teacher identities by looking at classroom interaction in various contexts. In this study, using an MCA related approach (Membership Categorization Devices) and drawing on Zimmerman's (1998) categories of identities, namely discourse, situated and transportable identities, Richards demonstrated that classroom conversation was possible by showing "how shifts in orientation to different identities in talk...are associated with changes in patterns of classroom discourse" (Gray and Morton, 2018a: 81). More specifically, he argued for the interactional and pedagogical potential of IRF/IRE classroom discourse pattern through the teacher's orientation to transportable identities. Richards then suggested that "introducing transportable identity in the language classroom – engaging as 'nature lover' or 'supporter of the English cricket team', for example – and encouraging students to do the same may

have the power to transform the sort of interaction that takes place in the classroom” (p. 30). What is significant of this study is the author’s argument about the dynamic landscape of classroom talk which includes “many unanticipated, incidental and spontaneous interpolations” (p.11) and how less predictable teacher identities (transportable identities) can be emerged, negotiated and constructed against that background to bring about important learning opportunities. Such an argument not only underlines the discursive and dynamic nature of teacher identities advocated in the present study, but also has a strong influence on the practical implications.

To conclude this section, the various studies and findings outlined above have provided a rich understanding of the current methods and themes employed in research on teacher identities. Among several methods applied in current research, discourse analysis and semi-structured interviews are deployed to the examination of Vietnamese teachers’ identities. Reviewing teacher identities also reaffirms my understanding of the dynamic and multi-dimensional nature of teacher identities. From an applied linguistics viewpoint, the following quote is particularly useful in capturing the way data are analysed in this research:

Understanding discursive identities requires more than the verbal analysis of discourse, but needs to include various socio-cultural aspects of discourse – where and when the discourse occurred and who was involved – to fully understand teachers’ discursive identities in a particular context. (Ab Rashid *et al.*, 2016: 140)

Since the sociocultural and sociopolitical perspectives are crucial in understanding the formation of teacher identities (Varghese *et al.*, 2005), the sociocultural linguistic approach to identity analysis (Bucholtz and Hall, 2005) reviewed previously (section 2.3) is particularly relevant and adopting this framework can ensure a more holistic level of investigation.

#### **2.4.4. Defining key terms**

Prior to moving on to the review of several key aspects of teacher’s identity construction, it is necessary to revise, define and distinguish crucial terminology used in this thesis.

**Identities** versus **Identity**: the historical development of identity conceptualisation (from essentialism to anti-essentialism/social constructionism) reviewed in the beginning of this section and the emphasis of the fragmented and multiple nature of

identity led to the need to acknowledge the multiple and dynamic nature of interlocutors' identity construction in daily communication. Identity, therefore, is referred to and used throughout in this thesis in plural form to highlight and underscore the social constructionist view of identities.

**Teacher's identities** versus **Teacher identities**: these two terms are defined and used differently in this thesis. While the latter refers more specifically to professional/ role-oriented identities of those in the teaching profession which are made relevant in the discourse (such as an instructor, a manager, a facilitator), the former is seen more all-encompassing which involves all the different discursive identities a teacher mobilises in the discourse (these identities can be either relating to the field and profession he/she is in or to his/her personal, gender or other social identities, such as being a book lover).

**Role(s)** are understood in this thesis as socially defined sets of expected behaviours of an individual in a particular position or job. For example, the roles of a doctor might include diagnosing diseases, taking care of patients' health condition. Although there are overlaps between roles and identities, they are considered as two distinguishable concepts and are not conflated in this thesis. In fact, as in institutional situated interaction, as mentioned in Farrell's study (2011), there is often a tension between institutional-assumed roles and identities constructed on individual levels. It is therefore important to acknowledge that while an individual might have professional role identities, these identities are dynamically constructed in discourse and do not generically emerge from a set of behaviours founded on cultural and social norms; rather they are personally defined by what the individual finds meaningful in his/her professional setting.

**Professional identities**: are defined in this thesis as the identities that individuals construct in relation to the perception they have of themselves or the self-categorisation they use to provide representation of themselves in an occupational context. In this thesis professional identities are thus related to an understanding of what a teacher is and should be.

**Personal identities**: refer to self-categories or personal attributes which provide a unique sense of self an individual has for him/herself which makes him/her different from other persons. For example, being funny, smart or athletic.

**Claimed identities:** are the identities (these can be personal, professional or social identities) that an interlocutor orients to and communicates to others in a particular moment of the discourse.

**Self-image:** is the feeling and mental picture one has about oneself, internally and externally, such as appearance, competence and personality.

**Teacher's beliefs:** are seen as personal constructs comprising teachers' set of opinions, feelings and attitudes about things that can provide understandings, judgments, and evaluations of teachers' practices.

**Knowledge:** is defined as information or understanding that a person obtains through experience or education about a particular issue (in the context of this thesis, the term 'knowledge' is used to specifically refer to understanding about learning the English subject).

**Pedagogical content knowledge:** comprises content knowledge and pedagogical knowledge which are both crucial for teachers to deliver any subject.

## **2.5. Aspects of teacher identity construction**

Since power relations are key elements in identity work, especially in a context which is often associated with the authoritative imbalance between teachers and students (Manke, 1997c), the following section endeavours to obtain an understanding of power relations in classrooms and its characteristics.

### **2.5.1. Power relations in classroom contexts**

This section deals with various aspects of power relations in classroom settings, which largely comprise all kinds of activities from pedagogy to social aspects happening within the classroom life. They include student resistance to teachers' expectations in multicultural classrooms (Ahlquist, 1991), balancing out teacher-student power relations to achieve best learning outcomes (Camp, 2011), the classroom environment which shapes student-student relationships (Cornelius and Herrenkohl, 2004), and power relations revealed in pedagogy (Gore, 1995). The studies in this body of research explore classroom power relations either from teachers' or students' perspectives.

Significantly, one noteworthy feature in the collection of literature in classroom power relations is the uptake of teachers' perspectives as the central starting point both to uncover and analyse classroom issues. The explanation for this general

pattern is perhaps rooted in the common perception that considers teachers as the main active force in the process of forming and achieving positive results in classroom practice. In addressing the question ‘Who has power in the classroom?’ the most likely response will be ‘the teachers’ (Manke, 1997c). It is fundamental that teachers should be equipped and well trained to be able to maintain their power within the classroom for the sake of educational achievements. While this implicitly suggests the passive role of students, research based on the teachers’ perspectives emphasises the crucial role of professional development in order to enhance the classroom experience for students (Manke, 1997a). This explains why there are a great number of studies from teachers’ perspectives offering insights into classroom power relations. The following section explores the key findings from what has been researched and developed so far in terms of classroom power relations from the perspective of teachers.

### **2.5.2. Power relations from teachers’ perspectives**

Research involving power relations in the classroom based on the teacher’s perspective can be divided into two main categories: (i) the effectiveness of various power bases used by the teachers and (ii) effective communication strategies.

(i) Recent research has confirmed a close link between various levels of teachers exerting power over the learning process (Zhang, 2014; Finn and Ledbetter, 2013). A significant volume of research has attempted to analyse the effectiveness of teachers’ power in various settings. Based on the influential power bases developed by French and Raven (1959), later studies have critiqued and encouraged teachers to employ certain bases of power available in the classroom in order to strengthen teacher-student rapport. Specifically, among the five types of power in the classic power typology, legitimate power and coercive power are the two power bases that have a negative effect on cognitive and affective learning (Richmond, 1990). In contrast, expert and referent power are more likely to have a positive effect on students’ cognitive and affective learning. Recent research has developed French and Raven’s power bases by adding ‘information’ and ‘connection’ power to better facilitate the teachers’ efficiency in classroom contexts (Zhang, 2014). While ‘information power’ might arguably overlap with the ‘expert power’ proposed by French and Raven, it differs in terms of not precisely referring to teachers’ subject knowledge. Rather, ‘information power’ refers to teachers obtaining holistic context and system

knowledge. For example, the teachers in Zhang's research (2014) demonstrate not only their teaching skills but also their understanding of the system and mechanisms that help to gain greater credit from students and parents. Under this category of power, it appears that the power relations between teachers and students are mainly determined by teachers' awareness of their power base selection. Arguably, the drawback of this approach to teacher-student power relations lies in the fact that power is regarded as the teachers' prerogative to manipulate classroom settings and the relationship with the students. It is posited in my research that power relations in the classroom cannot be determined simply through the way teachers combine several positive bases of power. In this approach, only a small part of the power relations between teacher and student is reflected and the reality within the classroom context is believed to be much more intricate.

(ii) Addressing this topic from a different viewpoint, researchers have studied teachers' power with regard to their performance and pedagogical methods within the classroom context. Regarding their institutional tasks, teachers' actions, way of thinking and perceptions pertain to the underpinning power mechanism that generates and governs their communication (Kearney *et al.*, 1985). Research has studied and pointed out communication techniques and messages that teachers should employ to maintain their authority and keep the classroom under control. On the grounds of effective communication in the classroom, these techniques are called 'power strategies' and they are "critical to teaching effectiveness and classroom management" (Kearney *et al.*, 1985: 19). According to these communication strategies, the way teachers maintain their power position in the classroom relies on the moment-to-moment involvement of BATs (Behaviour Alternation Techniques) and BAMs (Behaviour Alternation Messages). Other researchers such as Richmond (1990) have called similar power-maintaining tactics as 'compliance-gaining strategies', which relate communicative knowledge to the level of motivation among students. Contributing to the same line of research on effective communicative knowledge, Turman and Schrodt (2006) raise the issue of 'teachers' confirmation behaviours'; these constitute "the transactional process by which teachers communicate to students that they are endorsed, recognized, and acknowledged as valuable, significant individuals" (Ellis, 2000: 266). Although research has been moving towards teachers' communicative and interactive direction

through several developing models, for example BATs/BAMs and TCS (Teacher Confirmation Scale) (Ellis, 2000), it is posited in this research that the approach carried out in those studies has perhaps neglected the socially constructed nature of power. Specifically, by coding individual sets of sentences and categorising them as, for example, ‘Blame’, ‘Complaining’ and so on, the holistic picture of power relations between teacher and students is not fully depicted.

### **2.5.3. Power relations from students’ perspectives**

One critical drawback of taking teachers as the main party to investigate power relations in the classroom is the risk of neglecting or underestimating the crucial role of the students. As a considerable amount of research has centralised the active role of teachers in the classroom and this line of literature has been developed for decades, the number of studies taking the opposite position is very limited. To gain more insights into the literature of classroom power relations, research is gradually moving towards the direction of taking on board the seemingly powerless subjects in the classroom – the students (Cooke, 1977; Littlewood, 2001; Golish and Olson, 2000). From the perspective of constructing power relations in the classroom, research has confirmed that although the level of power possessed by students is less than that of teachers, “[s]tudents’ power may be a particularly salient issue to college teachers” (Golish and Olson, 2000: 294). In fact, students do employ BATs and BAMs in response to the dominance of the teachers (Burroughs, 1990). Burroughs (1990) terms the students’ strategies as ‘resistance strategies’ and divides them into three main categories: complete compliance, partial compliance and passive rejection. In comparison with the ones used by teachers, these strategies are likely to be more subtle. Moreover, when facing problems, students will rarely blame the teacher; instead, they regard problems as being their responsibility.

Based on the power relations section exploring the perspectives of both teachers and students, there are two main points that this research sums up and puts forward. Firstly, it is reasonable to emphasise the close and fundamental relationship between student-teacher power relations and their interpersonal relationships. A hidden message, drawn from the literature on teacher-student power relations, is that the matter of power must be addressed carefully by both teachers and students since it can directly affect the relationship formation and the learning process. Secondly, it is acknowledged that the literature on teacher-student power relations neglects the

social discursive feature of power, where “power is communicatively negotiated between teachers and students” (Turman and Schrod, 2006: 266). Thus, this study attempts to address this gap by closely examining how power relations in classrooms are negotiated and their relationship with the construction of teachers’ identities.

## **2.6. Discursive strategies and processes for identity construction**

This section reviews the theoretical backgrounds of three discursive practices and processes used by Vietnamese teachers to construct identities: code-switching, humour and facework. The main aims are to review key theories in each of these linguistic phenomena and demonstrate their relevance to the study of Vietnamese teacher identity construction. I start with a review of the linguistic phenomenon that appears the most frequent and easiest to notice from the data, code-switching.

### **2.6.1. Code-switching**

Code-switching (CS) is important for identity construction, since ‘code choice’ is an added resource for identity negotiation (Jaffe, 2009). The study of CS has been evolving around the link between code choice and group identities, ethnic identities and cultural identities (Auer, 2005). Regardless of its role as an identity-based phenomenon, CS is a frequent linguistic pattern in language classroom contexts and has been the subject of debate in Second Language Acquisition (SLA). Thus, reviewing some of the key CS functions in language classrooms and literature relating to CS as an identity-based phenomenon will establish the guidelines for my analysis of CS instances later, in chapter IV.

#### ***2.6.1.1. Code-switching in general***

Due to the acceleration of globalisation, the need and desire to become adept at different languages is constantly increasing throughout the world (Ellwood, 2006). The diversity of societies has created different language focuses from uniformity to hybridity and static to movement (Hall and Nlepp, 2015). Code-switching (henceforth referred to as CS) is considered to be one of the inevitable consequences of globalisation where alternations between languages in the same discourse occur (Jingxia, 2010). The settings which are likely to witness the occurrences of CS are usually those in which all parties have access to a common L1, such as conversations between bilingual individuals or in second language classrooms (Sert, 2005). In studies of CS, there have been a great number of attempts to define this linguistic phenomenon. Nunan and Carter (2001: 275) referred to it as “a phenomenon of



switching from one language to another in the same discourse”. In the context of second language classrooms, CS refers to “the alternate use of the first language and the target language, as a means of communication by language teachers when the need arises” (Jingxia, 2010: 10).

With regard to typology, previous research asserts the importance of distinguishing various types of switching. Myers-Scotton (1997) originally suggested two different types: inter-sentential and intra-sentential switching. The former occurs at the level of sentences, where the speaker produces one sentence in one language and the next sentence in a different one, whereas the latter refers to the switching of languages within a single sentence (Kebeya, 2013). Recently, research has introduced additional types; one example is tag-switching, where a phrase, word or both, from one language is inserted into a sentence in another (Jingxia, 2010). Different categories of CS such as *code-mixing* and *borrowing* are also distinguished by research. However, regardless of the debate over the treatment of CS terminology, in my study CS is used as ‘an umbrella’ term (Lin, 2008), which encompasses various types of language alternations.

There is a growing body of research concerning, ‘*Translanguaging*’, a concept of that also focuses on bilingual speakers’ practical use of different languages and distinguishes between translanguaging and CS. Although translanguaging and CS are phenomenologically similar, they are theoretically different and should not be seen as the same. In particular, the analysis of CS would normally start with the identification of the different languages involved in the discourse, followed by a linguist’s structural or functional analysis for such code alternation. Translanguaging, on the other hand, is defined as a meaning-making process, rather than switches of codes themselves. And hence, “[t]he analytical focus is therefore on how the language user draws upon different linguistic, cognitive and semiotic resources to make meaning and make sense” (Wei, 2018: 01). Since my focus is on seeing how teachers’ identities are constructed from their code choices in the language classroom where “[CS] is occasionally employed by...instructors to assist language practices that multilingual speakers are engaged in”, in the context of the present study, I follow CS’s body of research in pedagogy rather than translanguaging.

CS in second language classrooms has been the central focus in many bilingual studies. Situated in language learning environments, a great number of studies have looked into the issues of using learners' first language (L1) in target language (L2) classrooms pertaining to the question of which is the best learning environment for language learners. In order to obtain understanding around this debate, the following section unpacks the advantages and disadvantages of L2-only classrooms and that of engaging L1 in L2 classrooms.

### ***2.6.1.2. Code-switching in the second language classroom***

#### **2.6.1.2.1. Reasons for the 'English only' principle and its limitations**

There are many reasons why people in the field of ELT maintain English as the only medium of communication to be used in a language teaching context. The first reason is the issue regarding the gap between L1 and the target language, which dates from the middle of the twentieth century and is commonly related to the Contrastive Analysis Hypothesis (henceforth CAH). To be specific, the CAH puts forward the claim that "...the principal barrier to second language acquisition is the interference of the first language system with the second language system..." (Brown, 2007: 248). By noticing that the main problem is caused primarily by the first language, teaching experts and linguists in the CAH movement also strongly claimed that, to improve foreign language learning, there was a need to predict difficult patterns based on the differentiation between the language and culture of the first language and the target language (Lado, 1957, p. vii cited in Brown, 2007: 249). The emphasis on the dissimilarities between the two languages reinforces the view that linguistic codes should be separated and compared. However, as explained by Cook (2001), translation has always been a ubiquitous part of language teaching:

Teachers explain the L2 word, define or mime its meaning, show pictures, and so on, without translating, in the long-term hope that this builds up the L2 as a separate system (Cook, 2001: 407).

Additionally, there is a requirement that learners "...need to 'think in the [Target Language (TL)]' and avoid interference..." from the first language (Littlewood and Yu, 2011: 66). Another reason for the English only principle in the classroom lies in the belief in maximising the English exposure to the students. This principle is strengthened by Krashen and Terrell's argument in "The natural approach: language acquisition in the classroom" (1988), where they mentions that the 'crucial

importance' in acquiring language acquisition is to expose learners to "comprehending input". Auerbach (1993: 14-15) supports this by stating "[t]he more students are exposed to English, the more quickly they will learn; as they hear and use English, they will internalize it and begin to think in English; the only way they will learn it is if they are forced to use it". Under these influential statements, the teachers' role is vital in providing students with as much context of real communication as possible. These instances of communication are considered as "...the sole linguistic model for the students and is therefore their main source of TL input" (Turnbull, 2001: 532).

The final reason for advocating an English only classroom is the belief that it will have a positive effect on motivation among the students (Cook, 2001; Littlewood, 1981). While maintaining the use of the target language in a classroom, the teacher "...provides a rich source of communicative needs in the foreign language classroom" (Littlewood, 1981: 45). At the same time, they can subtly deliver a message in the target language as a useful medium for communication and thus boost the motivation to learn the target language within the class. For many students, achieving foreign language acquisition is very challenging. If the teachers do not use the target language in the classroom, the students will assume that there is no real need for them to use it.

Drawing on the aforementioned review and discussions, the scenario of 'English only' classes is apparently 'unrealistic'. Despite the fact that the concept of using the target language only in the classroom may help to 'avoid interference', maximise the exposure or boost students' motivation, in real classroom practice the theory is not always congruent with practice (Auerbach, 1993). The contemporary popular methodology is maximising the target language to the greatest possible extent and taking advantage of L1 in certain circumstances (Auerbach, 1993; Edstrom, 2006; Harbord, 1992; Littlewood and Yu, 2011; Meyer, 2008; Nation, 2001).

#### 2.6.1.2.2. The role of native language in classrooms

In contrast to L2-only classrooms, a variety of empirical investigations have studied the role of L1 in language lessons and have made huge contributions to the compilation of CS functions in language classrooms. The role of the first language, however, is not entirely a hindrance for language learning classrooms. Teachers and linguists globally have discussed several salient benefits of using the first language

in foreign language classrooms. Most of the findings fall into two main categories: the first language is either considered as a tool for facilitating better target-language learning or optimising uptake for the students. In the second, L1 plays a vital role in strengthening sociocultural factors and interpersonal functions such as students' psychology (between peers), signalling and negotiating shifts in role-relationships and identities, and appealing to shared cultural values and institutional norms (Lin, 2013; Simon, 2001).

A significant amount of empirical research has stressed that the role of L1 has been long underestimated (Wells, 1999) and it should be carefully re-examined as findings have shown that the first language is "...a useful tool for learning the L2" (Storch and Wigglesworth, 2003: 760). Firstly, using L1 to undertake comprehension checks is useful in various situations (Atkinson, 1987; Meyer, 2008) in terms of dealing with difficult grammar points and vocabulary (Sert, 2005) and aiding comprehension (Polio and Duff, 1994). Comprehension checks can be used when teachers want to ensure that students have correctly understood new word meanings (Nation, 2001), new grammar structures (Edstrom, 2006) or the context of a particular task (Nation, 2001). In other words, L1 helps teachers and students to reach a consensual understanding regarding the new knowledge introduced in the lesson. This is patently useful when it comes to abstract terms or complicated grammar points because to avoid misunderstanding teachers occasionally switch to the students' mother tongue to check their understanding. This CS starts and finishes quickly and therefore it is not harmful to the English environment of the classroom. With respect to monitoring and organising tasks, it is important that "the students must understand what they have to do" (Cook, 2001) and, by switching to L1, it is assured that students are all working on the same questions and no one is deviating towards the wrong direction.

Secondly, switching to L1 can accommodate low proficiency students (Makulloluwa, 2013). According to Meyer (2008: 152), "using the students' L1 is possibly the best way to make new material relatable to the learner's structure of knowledge, especially at low levels". Furthermore, based on the level of similarity between certain first languages and the foreign languages, students can compare and make rules to learn and avoid making mistakes in the target language (Meyer, 2008). This idea is different from what has been formerly discussed in the previous section

(2.6.1.2.1) – CAH (Contrastive Hypothesis Analysis). While CAH considers the ‘difference’ between two languages to separate them to avoid interference, in contrast the second idea sees the ‘difference’ as raising awareness to avoid mistakes.

Teachers and linguists who advocate the use of L1 in the classroom also point out that, besides the contribution to students’ learning of the target language, using the first language in the classroom also takes account of positive sociocultural matters. These sociocultural matters happen within the student-student relationships in the classrooms. In order to achieve foreign language competence, there are various risks that students must encounter; thus, “starting with the L1 provides a sense of security and validates the learners’ lived experiences, allowing them to express themselves” (Auerbach 1993: 19). This sense of security is directly related to students’ anxiety, defined as their reaction to the unfamiliarity that occurs within the classroom. Addressing these two matters can create a positive influence on the students’ target language acquisition (Brown, 2000: 150 cited in Meyer, 2008: 151). Teachers also switch to L1 to perform the classroom’s administrative functions, such as managing the class (Turnbull and Arnett, 2002; Cahyani *et al.*, 2016) and managing the students’ behaviour (Liu *et al.*, 2004).

Additionally, research also reveals the communicative function of CS in language classrooms. In language classrooms, L1 is effectively used to build teacher-student relationships (Polio and Duff, 1994). When teachers want to establish a less distanced and non-institutionally defined relationship with their students, they often find it necessary to switch to their shared native language (Lin, 2013). Along the same lines, in the study of CS in studying French in language classrooms in Thailand, Simon (2001) points out numerous purposes of switching to L1, including negotiating different framed role-relationships. Specifically, according to this study, by switching to L1 the Thai teacher has shifted from her role as a teacher and has become a friend to the students. The use of L1 has gradually gained credit as an acceptable and necessary linguistic choice and is no longer considered a disruptive move in foreign language classrooms. More importantly, “[c]ode-switching is seen to be an additional resource in the bilingual/multilingual teacher’s communicative repertoire enabling her/him to signal and negotiate different frames and footings, role-relationships, cultural values, identities and so on in the classroom” (Lin, 2013: 08).

Drawing from the review, it is also observed that much research has been conducted in foreign language classrooms pertaining to the functional use of L1 in L2 classrooms, and only a small amount of research has explored the connection between these CS functions and the construction of identities. The following section delves into these few studies to obtain a better understanding of such a connection.

#### ***2.6.1.3. Code-switching as an identity-based phenomenon***

As mentioned earlier, CS is one of several discursive strategies deployed for the construction of these teachers' identities. CS is important for identity construction since it is an added resource for speakers in terms of stance-taking (the discussion of stance-taking is detailed in section 2.6.1.3.2). If speakers in monolingual contexts take stances through exploiting various linguistic forms, speakers in bilingual contexts have 'code choice' as an added resource for stance-taking and identity negotiation (Jaffe, 2009). The study of CS has been carried out mainly in bilingual contexts such as bilingual communities or foreign language classrooms. Early research around this phenomenon has indicated some key relationships between CS and identity formation, for instance group identities, ethnic and cultural identities are evoked when the speakers code-switch (Gumperz, 1982). More recent studies in identity and CS have demonstrated that the speaker's CS behaviours in bilingual contexts, where one language is valued more highly than the other, can demonstrate the speaker's political position and their treatment of such asymmetrical situations (Jaffe, 2007; Jaffe, 2009). Recent research also reveals the variety of stances being invoked and adopted in the interaction, which challenges the idea that there is a direct link between CS and ethnic identities from earlier research (Nafa, 2015; Georgakopoulou and Finnis, 2009).

##### **2.6.1.3.1. Models of code-switching and identity research**

Code-switching has been considered as a means through which speakers can negotiate, construct or reconstruct aspects of their identities (Georgakopoulou and Finnis, 2009; Hall and Nilep, 2015). Speakers can adopt or highlight different roles and even cross language varieties associated with other groups that they do not belong to, in order to negotiate their identities (Rampton, 2005). This contests the direct link between the language one deploys and one's ethnic/cultural identities, as claimed by previous research traditions. There are a number of models studying CS as an identity-based phenomenon, including "We-code"/ "They-code" (Blom and

Gumperz, 2000) and the “markedness” (Myers-Scotton, 1993) model. The first model puts emphasis on the shared norms and linguistic behaviours between speakers of the same local community. If ‘we-code’ is referred to as the ethnic language of a bilingual community and associated with in-group (ethnic) identities, ‘they-code’ refers to the language of the wider society and associated with out-group identities. The second model is built on the assumption that there is a pre-existing system of linguistic forms before the occurrence of the interaction. Consequently, in order to represent particular social roles, the speakers can choose the linguistic forms that are associated with and indexical to that role. Although the two models discussed above established the foundation for the understanding of CS as an identity-related phenomenon, taking into account my research context and my position of understanding identities by utilising a sociocultural linguistic approach, another model has been adopted. This model is the focus of the following section.

#### 2.6.1.3.2. The stance-based approach

With the development of identity conceptualisation during the 1990s identities began to be viewed as fragmented and multi-layered, allowing the concept to be studied on ‘interactional’, ‘ethnographic’ and ‘sociocultural’ levels (Bucholtz and Hall, 2008). Due to the change in conceptualising identity, research views CS as “a complexly agentive phenomenon that can be used as a resource to express “multiple and shifting identities”” (Hall and Nlepp, 2015: 608). It is also argued during this period that ethnicity is no longer viewed as a straightforward product of language forms and varieties, as claimed in previous studies, rather it is a complex product of discursive exchanges.

Since a direct link between language varieties and identity does not exist, stance-taking is considered as the mediating means for the speakers’ language use and enacted identities (Bucholtz and Hall, 2005). Stance indirectly associates particular linguistic forms with social meanings. “[T]he speakers’ specific use of language can determine what aspects of their identity they believe to be of relevance to them and thus needs to be enacted” (Nafa, 2015: 22). Later, cultural ideologies are foregrounded owing to the fact that some repetitive stances have become naturalised. As a consequence, a particular way of using language can mostly be associated with speakers from certain social categories. However, it is important to note that

speakers may also change or reconstruct their identities by using different linguistic styles to evoke different stances (Nafa, 2015).

Recent research has taken the stance-based approach to investigate CS and how CS can evoke speakers' stance-taking and their identity construction. Research in this direction informs a range of different stances taken by speakers in bilingual discourse; for example, in Polio and Duff (1994), the teachers switch to L1 to index the stance of an empathic peer to their students. Similarly, Makulloluwa (2013) indicates that teachers primarily switch to L1 to discuss information unique to the Sri Lankan culture to index a bilingual identity stance. Noteworthy in this regard are the two studies by Jaffe (2007) on Corsican classrooms and Nafa (2015) on Arabic-English bilingual speakers due to their relevance to CS and identity construction.

Jaffe (2007) investigation of the relationship between CS and identity from a stance perspective is considered to be one of the most influential works. She explores the meaning ascribed to the teacher's CS and management of both languages (Corsican and French) in the classroom. In order to assign meaning to instances of CS in her data, based on a stance-based approach, Jaffe attempts to frame "the kind of communicative uses to which stereotypical... associations of codes with equally stereotypical social identities or values could be used by individuals in interaction" (Jaffe, 2007: 56). She also stresses that the interpretation of a stance needs to be inferred from empirical evidence of "conventional associations of codes and meanings gained from ethnographic, conversational, and sociolinguistic data" (Jaffe, 2007: 57).

In a context where French is more favourable for the public due to its economic advantage, Jaffe collects and groups instances when both languages are used in different categories, such as in giving directions, showing discipline and so on. It is reported from the data that both the languages are equally used in the classroom discourse, which implies that the teacher has assumed an interesting political position. The teacher's balanced use of both French and Corsican can be inferred as the index of parity, which positions the two languages as equally important and powerful. This is seen as a political position taken by the teacher with reference to the sociolinguistic context, where French is the dominant language and Corsican is taught merely for its cultural value. The authoritative stance evoked by the teacher's use of the Initiate-Response-Evaluate (IRE) pattern helps to strengthen this political



position when the teacher uses Corsican and French equally to carry out evaluative moves. More importantly, Jaffe also interprets the teacher's use of Corsican in expansions of the students' turns as indexing a "speaking for" design (2007: 74). This design positions the students as the audience while positioning the teacher as a person who is able to "speak for" the students. Jaffe then suggests that the use of Corsican for expansions could not only link the students to the code, but also develop their relationship with the language. Jaffe's analysis is an interesting illustration of how CS patterns can index relevant stances, which can later aid in the interpretation of the teacher's positioning.

Adopting Jaffe's framework, Nafa (2015) investigates the identity construction of Arabic-English bilinguals using a stance-based approach. Drawing from the interview transcripts and conversations between bilinguals, Nafa notes that by switching to English (the participants' L1) four stances are indexed: 'expressive and positive', 'polite and indirect', 'British identity' and 'defensive'. In the first stance, English is the most selected variable when the speakers express their emotions or give compliments to others. This stance is indexed explicitly in the participants' testimonials during the interviews between Nafa and her participants. The reason for this choice of code is explained in relation to culturally-induced habits in the Arabic world, as people in Arabic communities are reluctant to express their emotions directly. Speaking a particular code seems to mean the speaker is perceived differently, hence switching to English means the participants are perceived to be open and positive. Similarly, the participants also index a stance of being 'polite and indirect' when they switch in between their turns or pose indirect questions in English. Additionally, drawing on one bilingual participant's (Narjis) use of the pronoun 'we' when she was trying to correct another participant (Hanan) about a type of vegetable, Nafa argues that the participant tries to index her 'British identity' (English is Narjis' first language). However, both languages are the 'we-code' for Narjis and therefore her act of mixing the codes temporarily highlights the British aspect of her identity, while she is also a speaker of Arabic. The last stance that the participants take when they switch to English is 'defensive'. It is noted in a conversation between three bilingual participants that they tend to switch to English to defend their opinions. This switch is powerful since switching to the majority

language “can add to their voices an element of credibility and authority, to yield power or win an argument” (Nafa, 2015: 27).

To conclude this section, the studies of CS in bilingual communities and the identity construction have proved that the link between CS and ethnic identity is not a direct one. Rather, it is a complex process in which speakers constantly evoke stances to negotiate relevant aspects of their identities through the use of linguistic forms and varieties. Studies in identity-related CS also highlight several CS features of constructing multiple and shifting identities (Woolard, 1998). CS is certainly a resourceful linguistic pattern to negotiate and construct aspects of identities. For a comprehensive examination of this linguistic phenomenon, this study adopts the coding of Jaffe’s and Nafa’s frameworks, the functions of CS and the five principles of Bucholtz and Hall (2005) described previously (section 2.3.) to study CS instances in the data. I also propose a two-step process in order to examine the link between CS instances and the teacher’s identity construction:

1. Detecting and grouping the speakers’ tendency to code-switch in order to perform certain acts (coding details are presented in Appendix A)
2. How do speakers utilise CS patterns to negotiate their various identities (i.e. which stance do they index through CS patterns)?

### **2.6.2. Humour**

This section aims at providing the theoretical background of humour, including how it is conceptualised and how humour works. In this section, I also discuss other important aspects of humour, such as its functions in general and in educational settings, as well as various categories and types of humour used in classrooms. The section ends with a brief review of the relationship between identity construction and various forms of humour.

#### **2.6.2.1. Defining humour**

Tracing back to its Latin origin, ‘humour’ was closely associated with one of the four crucial fluids of a healthy body. A person in good health was seen as in good humour. However, during the Renaissance period, humour was treated as a term for insanity and not until around the 18<sup>th</sup> century, was there a shift in understanding this term as normal human behaviour. Today, in modern understanding, humour is frequently considered to be akin to a person’s characteristic (i.e. having a sense of

humour). Specifically, humour is synonymously referred to as fun, laughter, amusement or one's ability to induce or enjoy such things. In this regard, one of the most obvious detectable indicators of humour is the occurrence of laughter (H. N. H. Pham, 2014). The Longman dictionary of contemporary English's definition below captures the typical conceptualisation of humour today:

1. The **ability** or tendency to think that things are funny, or funny things you say that show you have this ability.
2. The **quality** in something that makes it funny and makes people **laugh**.

Among humour research, in contrast, the concept of humour is much more complex and even goes beyond the limitation of tying humour with 'fun' and 'amusement' (Banas *et al.*, 2011). Taking the definition of Wanzer *et al.* (2006) as an example, humour is defined as 'anything that the teacher and/or students find funny or amusing' (p. 182). Humour drawing from this definition shares similarities with the definition of the dictionary stated earlier. Nevertheless, it is rather ambiguous since it is unclear what is perceived as 'funny' and 'amusing' as there is no indicator of such phenomena (such as laughter, giggle, etc.). In the area of language learning, the concept of humour becomes even more complex since it involves other languages rather than one's mother tongue. This dimension of humour brings about the addition of other elements into the definition of humour such as the one from Tuncay (2007: 02):

Humour means understanding not only the language and words but their use, meaning, subtle nuances, the underlying culture, implications and unwritten messages.

The idea of considering humour within the sociocultural context, and as a cultural-bound phenomenon leads to the reconsideration of other areas that most authors of humour in mono-lingual and -cultural contexts might have overlooked (Bell, 2009). It is also the cultural and contextual elements of humour that can determine someone or something to be humorous. Indeed, something humorous in a particular context can become incomprehensible, inappropriate and even offensive. Due to these features, there is no single definition of humour that can be widely applicable to a wide range of research and settings. Although the definition of humour varies from context to context, depending on the perspectives of the research, it is widely acknowledged that humour is a social phenomenon, which involves incongruous

meanings that evoke amusement in some manner (Banas *et al.*, 2011; Martin, 2007). Given the aims of my research, humour is defined as:

Instances where participant(s) signal amusement to one another, based on the analyst's assessment of paralinguistic, prosodic and discursal clues. These instances can be classified as either successful or unsuccessful according to addressees' reactions. Humour can be a result of either intentional or unintentional humorous behaviour from participants. (Mullany, 2004 cited in Schnurr, 2010:308)

With the aim of investigating the teachers' use of humour and their identity construction, teacher-initiated humour is particularly taken into consideration. The investigation of a teacher's use of humour includes all the instances of humour but does not aim to classify which is the teacher's planned or spontaneously occurring humour. These instances of humour are premised on verbal humour, rather than physical humour such as facial expression or gesture. Although student-initiated humour is not the focus of this research, given the understanding of humour as a co-construction phenomenon, the role of students in response to the teacher-initiated instances of humour are considered crucial. Also in order to identify instances of humour in the data, the study will draw from cues of opening a play frame, such as tone of voice, lexical items as well as the variety indicative of humour response, such as laughter, repetition, more humour or silence. These contextualisation cues and humour supports are discussed in the following sections.

#### ***2.6.2.2. Identifying humour instances***

It is challenging to identify humour, however, capturing and locating humour (Bell, 2006) instances are crucial to the analysis of humour. There is a research area studying contextualisation cues in order to understand how humour is framed in interaction. Among these cues, regardless of the complex relationship between laughter and humour, which is addressed further in section 2.6.2.2.1, laughter is recognised as one of the longstanding contextualisation cues to signal humour between interlocutors. Jefferson (1979 cited in Bell, 2011) uncovers that by inserting a small laugh near the end of an utterance, a speaker signals that laughter on the part of the listener is an appropriate response. Moreover, repetition, prosody and reported speech are other contextualization cues of humour, for example words uttered with smiley tone of voice also signal an amusing frame (Attardo *et al.*, 2013; Bell, 2006). The switch to humorous mood is sometimes made explicitly in order to avoid

misunderstanding between interlocutors, such as “I am teasing you” (Bell, 2011). Similarly, in humorous anecdotes, a hint to open the humorous frame is a frequent comment “it was so funny”. Besides verbal cues, non-verbal cues such as smiling, smirking and facial expression also play a useful role.

#### 2.6.2.2.1. Laughter as a humour response

The occurrence of laughter has been seen by ethnographic studies as arising from the presence of humour. Even in the three theories of humour mechanism, laughter is seen as the most obvious indicator. Glenn (2003) further explains that laughter in this account is treated “simplistically as a response to humour and thus to imply a causal, stimulus-response relationship from humorous event to perception of humour to laughter”. However, laughter is far more intricate and complex and thus the relationship between humour and laughter should not be treated as a straightforward causal relationship (Holt, 2011). The reasons for this firstly lie in the fact that laughter can occur in many instances when there is nothing humorous. For example, in Jefferson’s study of the organisation of laughter in troubles-telling (1984), laughter occurs very frequently. Regardless of its frequency, it is argued that the aim of troubles tellers’ laughter is not to respond to humorous discourse. Rather, laughter in this case is to demonstrate the speakers’ resistance to the trouble – that they are able to take it lightly. Laughter does not occur as the recipients treat the turn as serious. Çiçek Başaran (2013) also shows how laughter occurs in situations where nothing amusing precedes. The reason for such laughter to occur is because they are considered as ‘face-saving’ devices for interlocutors to react in embarrassing situations. Moreover, according to Pfeifer (1994: 170), “...one of the interesting things about laughter is that it’s a “middle range” behavior, in the sense that it falls between such physiologically determined behavior as blinking on the one hand and such culturally determined behavior as language on the other. We sometimes laugh at nothing, or else laugh at something, but for no particular reason.” A recent study of medical interaction between healthcare providers and pregnant women also shows two functions of laughter during prenatal meetings. It is found that the healthcare providers’ laughter occurs not out of something humorous, but to overcome the patients’ resistance and to assist the healthcare providers with the patients’ direct questions (Zayts and Schnurr, 2011). With the first function, laughter was deployed to overcome the dilemma of patients refusing to receive all the information of

prenatal diagnosis. The healthcare providers' aim is to help the patients to make an informed decision by providing all the options. However, the patients' refusal to have a diagnosis at the first mention of the test, without having all the intended information, interrupts healthcare providers' aim. As a consequence, laughter "functions as a means to respond and perhaps even attempt to overcome the patient's resistance, and how it allows the medical provider to proceed with the information delivery" (Zayts and Schnurr, 2011: 11). Laughter also functions as a 'laughing-off' means for patients' direct questions that seek explicit advice from the healthcare providers. Since these kinds of questions "present the medical provider with a precarious situation...[therefore laughter helps them] to assist the patient in making a decision while still maintaining a nondirective approach to counseling at the same time" (Zayts and Schnurr, 2011: 13).

While studies have shown the absence of humorous elements in the many occurrences of laughter, research similarly finds situations where laughter is missing in non-serious settings. Drew's conversational research into laughter of teases (1987) reveals that in many contributions designed to be non-serious, frequently, there is no presence of laughter in the interaction.

Drawing from the above review, it is crucial to acknowledge that laughter should not be seen as the straightforward and only indicator of humour (Petraki and Nguyen, 2016). Provine (1996) shows that, in reality, laughter occurs along the course of an interaction, and only 20% of laughter in the study accounts for structured attempts at humour.

#### 2.6.2.2.2. Other humour responses

In addition to the movement of investigating humour outside the laboratory, discourse analytic studies of humour have investigated different responses to humour in social interaction. Insights offered from such studies not only challenge the norm of linking laughter and humour, but also reveal a number of other responses following humorous utterances. These humour responses vary according to the types of humour (Schnurr, 2010). In Drew's study (1987) that examines the reaction of speakers to teases, although the targets respond to teases with laughter, they display their awareness of the teases and also provide confirmation of the teases' contents. Investigating jocular abuse (one kind of tease) among friends, Hay (1994: 50) discovers that the most frequent reaction is "simply not to comment" and less

frequent responses are playing along with the abusers and revenging with playful attacks. Attardo (2001) reveals that in response to ironical utterances, the hearer not only laughs but can also 'mode adopt'. This mode refers to the situation where the hearer decides to participate and play along in the world created by the joker. However, analysis of responses to ironical utterances confirms that this 'mode adopt' is not a frequent reaction to irony. Instead, findings from Eisterhold *et al.* (2006) echo those in Drew's study findings, i.e. the targets respond with laughter, followed by serious comments to correct the implication of the ironic utterances.

Mode adoption is a possible reaction to other types of humour, such as punning (Chiaro, 1992; Norrick, 1993). These studies confirm that further punning from other participants is elicited from spontaneous conversational punning and that participants continue to playfully construct the fantasy scenarios. From a quantitative perspective, Holmes and Marra (2002) show that the most common response to humour is 'more humour', concluded from the observation that extended sequences of humour occur more frequently than single contributions in all of their data. In addition to more humour, word repetition to show support is also a humour response identified in Hay (2001). What is significant about Hay's study is also her finding that laughter can offer a wide range options in response to failed humour, such as fake laughs and groaning. These responses can display unappreciated hearers as competent interlocutors. In other words, hearers can on the one hand show their acknowledgement to the humour attempts, and on the other hand imply that the humour is not appreciated (Sacks *et al.*, 1974). Rather than laughter, speakers can also explicitly produce a statement of recognition (Norrick 1993), ironic comment of enjoyment, or silence to signal different levels of not appreciating humour (Hay, 2001).

#### **2.6.2.3. Functions of humour**

It is not surprising that humour is generally considered as something positive and has various benefits for one's physical and mental health according to scientific research. The positive effect of humour, laughter, has been characterised with the ability to relax muscles, improve circulation, respiration and even acting as a pain tolerant agent (Gremigni, 2012). Although in humorous communication, one of the purposes is to create laughter and amusement, it is crucial to note that humour is not a

homogeneous concept that serves both positive and negative functions that go beyond amusement.

#### 2.6.2.3.1. Psychological functions of humour

Humour is seen as a means to relieve stress, reduce negative emotions (Alston, 2007) such as anxiety, tension and depression, and boost motivation (Cornett, 1986). These effects are particularly valuable for people who are under pressure to maintain mental balance. In the educational context, owing to its positive effects, humour is generally a great means to enhance learners' motivation along learning processes (H. N. H. Pham, 2014). Learning activities can cause certain levels of tension and pressure for learners due to the difficult process of acquiring new knowledge and skills and possibilities of failure. In order to cope with such challenges, humour offers great motivation for learners in terms of making the learning process enjoyable and fun (Berk, 1996). Also, if failure happens during the learning process, by deploying humour, any negative impact can be diminished. Humour can help the learners to regain the control, security and the 'mental distance' to accept and deal with the impact of failure (Morreall, 1997).

#### 2.6.2.3.2. Social functions of humour

According to Schnurr (2010), the most typical interpersonal function of humour is to regulate affiliation, and maintain and strengthen solidarity among interlocutors. Being amused and entertained together not only creates positive emotions between group members (Martin, 2007), but also helps one "identify common ground on which to build relationship" (Bell, 2011: 12). Specifically, since creating and receiving humour depend on both 'social contexts' and 'personal tastes', bringing off humour can demonstrate one's understanding of the 'existence of common ground' with other members in a social setting (Marra and Holmes, 2007). According to Marra and Holmes (2007), the ability to exchange humour is closely linked to a newcomer's ability to participate in a new workplace. Mak *et al.* (2012) further note that when newcomers enter a workplace community of practice, there is a relational and power transition among members, and "humour is a way of coming to awareness or understanding of such change and transition" (Mak *et al.*, 2012: 165). Also, the ability to exchange humour reflects the newcomer's lack of full membership and cultural knowledge of the community, particularly when the newcomer's first language differs from other members of the community.



Owing to its ambiguous nature, humour is seen as a valuable means to do power, especially in workplace settings (Bell, 2011; Schnurr, 2010; Schnurr and Chan, 2011b). From this perspective, humour can be used either to downplay authority to strengthen solidarity, or as a means of reinforcing power and status differences and regulating group members' actions (Martin, 2007). By deploying humour, more powerful interlocutors can strategically manage risky speech acts such as criticising, complaining, refusing and disagreeing (Holmes and Stubbe, 2003) hence getting the messages across while simultaneously maintaining solidarity (Schnurr, 2010). Deploying humour is not only associated with powerful interactants, but also less powerful ones when subversive humour (or challenging humour) is used. This way of using humour means less powerful interlocutors can "subvert existing power structures and the status quo, while at the same time reinforcing solidarity among those who participate in the humour" (Schnurr, 2010: 314).

#### ***2.6.2.4. Humour in education and classroom contexts***

The study of humour and its function in educational settings has been an area of research interest for around 50 years. During the 1960s, the majority of humour studies in education centred around the relationship between humour and its effect on learning. There was a focus shift around the 1980s when researchers investigated the effects of humour on classroom environments and learning motivation. Whether approaching humour from quantitative or qualitative methods, it seems to have positive functions in classroom settings suggested by most research. One of the most frequent reported benefits of humour is its positive impact on classroom environments by creating a fun and relaxed learning atmosphere. According to Stuart and Rosenfeld (1994: 88) "teachers' use of humor...as a means of establishing rapport and developing open, supportive communication climates". Similarly, Spåre (2008 cited in Paajoki, 2014) advocates that humour offers "an opportunity to enhance positive interaction in the pedagogical relationship". In other words, humour is considered positive in relation both to classroom atmospheres and teacher-student rapport.

Another function of classroom humour is its potential to facilitate learning. Drawing from incongruity theory and the elaboration likelihood model (ELM), Wanzer *et al.* (2010) develop instructional humour processing theory (IHRT) and point out that instructors' humorous materials can assist students' learning when students

“perceive and then resolve the incongruity in a humorous instructional message” (Gonulal, 2018: 142). When students engage in such a processing practice, their motivation level and ability to process information will increase. Moreover, IHRT can enhance the students’ attentiveness and potentially aid their learnability of the materials. Studies also indicate the positive role of humour as a smart way to stimulate and retrieve knowledge from previous lessons (Duffy and Jones, 1995).

In the language learning sphere, deploying humour needs to take into account not only its relevance and appropriateness, but also the learners’ language level. Due to these multiple aspects involved, humour in language classrooms has received considerable attention. Studies from psychology perspectives, for instance, have shown that humour in the language classroom can help to reduce students’ anxiety and enhance their participation (Petraki and Nguyen, 2016). Moreover, language play in L2 classrooms can promote students’ memory of vocabulary and hence play a great role in students’ language acquisition (Gonulal, 2018). Forman’s study (2011) is one of the few studies that investigate humour in the Asian language classroom. The study posits that humour has created a responsive and warm learning environment in one ESL language classroom in Thailand with a great amount of laughter and smiling identified from the data. Not only does humour facilitate classroom environments and learning, but research shows that it is also an effective means to comprehend the sociocultural contexts of language (Muqun and Lu, 2006). According to this study, due to the cross-cultural differences, it is challenging for students to understand target language’s messages so humour serves as an effective tool to simplify and put the meanings of culture interactions across for students (Zhao and Throssell, 2010). There is widespread agreement among scholars that classroom learning can benefit from positive outcomes when teachers use humour appropriately (Jeder, 2015; Wanzer *et al.*, 2006).

The multifaceted nature of humour can also cause negative effects in classroom settings and teacher-student relationships, as reported in several studies. Without careful consideration, teachers’ humour might be misunderstood and be interpreted as a threat rather than fun and amusement. In a study of students’ perceptions of teachers’ humour, Anttila (2008 cited in Paajoki, 2014) found that students respond both positively and negatively to teachers’ humour. According to this study, negative teacher humour comprises demeaning, mocking, humiliation and joking, or laughing

at someone's expense (Anttila 2008 cited in Paajoki, 2014). As a consequence, students felt irritated, inferior to other students and even depressed. Anttila's research reveals that whether the target of teacher humour is the class or an individual student, its effects are likely to be negative to the motivation level of students, the atmosphere of the classroom and the teacher-student relationships. Although the negative effect of humour can result in harmful consequences in the classrooms, it is not the case that positive types of humour can always result in positive students' perception and vice versa. Saharinen's study (2007) during Finnish and literature lessons has found that teachers' use of teasing humour indexes closeness. Instead of perceiving teachers' teases as aggressive remarks, students in this study seem to understand the teacher's non-serious intent and therefore the teasing work seems to have a positive impact on the classroom environment.

In addition to the positive impacts of humour on the classroom environment and learners' cognitive and psychology, looking more specifically from a classroom interaction and discourse point of view, research has pointed out numerous other functions of humour in the classroom contexts. Given the fact that in the classroom contexts the relationship between teachers and students is normally asymmetrical recent functional discourse analytical studies have shown that humour is used to put-off subversion and resistance in the classroom. For example, "humor serves as a resource for students (and teachers) to negotiate personal identities, as well as play with institutional identities that may be imposed upon them" (Pomerantz and Bell, 2011: 150). Drawing from data on a Spanish classroom in an American university, the study of Pomerantz and Bell (2011) has detailed how humour can be seen as a 'safe house' where participants can safely negotiate subversive identities and break down the monotony of classroom's scripted activities (Petraki and Nguyen, 2016). Likewise, the examination of subversive humour in educational contexts of India, Malaysia and Vietnam from the study of (Schnurr *et al.*, 2016) has provided insightful understanding of how subversive humour is deployed in different educational contexts. This study has shown that subversive humour assists the interlocutors to question and challenge the existing power relations, for example criticising someone in higher institutional positions, challenging the teacher's decision and institutional practice.

#### **2.6.2.5. Types of humour in educational contexts**

Previous studies on humour have demonstrated a variety of humour classifications and typology; however, most of these classifications fall into one of the five following main groups: humour forms (such as jokes, teases or comments), the target of humour (e.g. the humour makers or the humour recipients), humour effects (positive or negative), level of intentionality (prepared or spontaneous) and relevance (lesson-related or not).

The simplest classification of humour divides humour broadly into positive or negative types according the function of the humour instances, such as the model of humour styles in Martin *et al.* (2003). In this study, humour is categorised into affiliative, and tendentious or aggressive uses of humour. Among these groups, affiliative humour is used for enhancing relationship and cohesiveness while aggressive humour includes manipulating or disparaging others. Coding humour types from an inductive approach based on the form of the humour, Bryant *et al.* (1979) study offers six types of humour: joke, riddle, pun, funny story, humorous comment, and other (such as using funny sound effects or visual exaggerations). Similarly, Martin (2007) creates taxonomies of three broad forms of humour: jokes, spontaneous conversational humour (including intentional verbal or non-verbal humour attempts enacted during social interactions); and unintentional humour (including physical and linguistic accidents that cause laughter or mirth).

Generating their humour types from 712 student-generated examples of appropriate teacher humour, Wanzer *et al.* (2006) suggest four main types: humour related to class material, humour unrelated to class material, self-disparaging humour, and unplanned humour. Frymier *et al.* (2008) later develop the humour types of Wanzer *et al.*'s study and put forwards five major categories: other-disparaging, related, unrelated, offensive, and self-disparaging. It is argued by Frymier *et al.* (2008) study that course-related humour is generally the most appropriate type of humour for instructors, while offensive humour is seen as the least appropriate for the classroom. Table 2.1 illustrates several key main humour categories established by previous instructional humour research.

Table 2.1. Humour types (based on Banas *et al.* 2011: 123-124)

Humour type	Description	Reference work	Level of Appropriateness
Affiliative humour	Amusing others, building solidarity, relieving tension	Martin <i>et al.</i> (2003)	Appropriate
Humour related to class material	Stories, jokes, or other humorous content related to class material	Frymier <i>et al.</i> (2008); Wanzer <i>et al.</i> (2006)	Appropriate
Funny stories	Events or activities connected in a single event related as a tale	Bryant <i>et al.</i> (1979); (1980)	Appropriate
Humour unrelated to class material	Stories, jokes, or other humorous content not related to class material	Frymier <i>et al.</i> (2008); Wanzer <i>et al.</i> (2006)	Context-dependent
Self-disparaging humour	Making the speakers the target of the humour	Byrant and Zillmann (1989); Frymier <i>et al.</i> (2008); Wanzer <i>et al.</i> (2006)	Context-dependent
Spontaneous humour	Humour that is unintentional or spontaneous	Martin (2007); Wanzer <i>et al.</i> (2006)	Context-dependent
Jokes or riddles	A relatively short build-up followed by a punch line.	Bryant <i>et al.</i> (1979, 1980); Martin (2007);	Context-dependent
Puns	Structurally or phonetically words or phrases having two or more meanings were used simultaneously to play on the multiple meanings	Bryant <i>et al.</i> (1979)	Context-dependent
Aggressive; Other-denigrating	Manipulating or denigrating others, ridicule, or mocking	Frymier <i>et al.</i> (2008); Gorham and Christophel (1990); Martin <i>et al.</i> (2003); Stuart and Rosenfeld (1994)	Inappropriate
Offensive humour	Humour based on the race, ethnicity, sex, political affiliation, or sexual orientation of another	Frymier <i>et al.</i> (2008)	Inappropriate
Teasing humour	Make fun of or attempt to provoke someone in a playful way	Stephanie <i>et al.</i> (2016)	Context-dependent

The way humour is identified and interpreted is culture- and context-dependent and hence, although this table attempts to summarise and group humour types into categories, the reality of analysing humour is acknowledged to be much more intricate.

A recent case study of Vietnamese teachers' use of humour in EFL classrooms reports that Vietnamese EFL teachers are aware of the important role of humour in facilitating students' learning and intercultural competence (Petraki and Nguyen, 2016). The majority of teacher participants in this research attempt to use humour in their classroom practice and the four favoured humour types are spontaneous humour, humorous comments, jokes and funny stories. The teacher participants suggest that the appropriate use of humour in the classroom relies primarily on student age groups, personalities and contexts.

This section reviews several key humour types, which are regarded as the guideline for exploring humour instances in my data. Although the literature around humour and its connection to teaching and learning has gained richness over the past 50 years, there is limited literature concerning the role of humour and teacher identity construction in the classroom. In order to gain a better understanding of humour from a teacher identity construction perspective, the following section delves into the relationship between conversational humour and identity construction.

#### ***2.6.2.6. Humour and the negotiation of identity***

Humour is a great means for the construction and display of social identity (Boxer and Cortés-Conde, 1997; Archakis and Tsakona, 2005; Schnurr, 2009). With the use of conversational joking, participants' identities can be constructed and mobilised, for example friends, family members or colleagues, which leads to a sense of group membership. Within this relational identity display, Boxer and Cortés-Conde (1997) argue, "participants not only display identity but create new ones based on their past, present, and future relationship" (p. 282). Conversational joking comprises teasing, making jokes about absent other, and self-denigrating humour (Boxer and Cortés-Conde, 1997)

##### ***2.6.2.6.1. Identity construction through jokes***

The foundation of joke making often involves controversial or sensitive topics such as sex, race or politics. When the interlocutors make jokes together, they can co-

construct and reinforce their shared knowledge and perceptions of the topics in question (Norrick, 1993). When people create jokes that target at absent other, it creates opportunities for developing group affiliation and consensus in a way that participants co-construct against outsiders and distance the absent other. As an example provided in Boxer and Cortés-Conde's study (1997) when three women mock a man that one of the women is dating, drawing on their shared knowledge about how men think and act, the women collaboratively construct their identities and create co-membership. Boxer and Cortés-Conde (1997) show that the three women's identities are constructed within a play frame within which the communicated messages should not be taken seriously or faithfully. In order to participate and conjoin joke-making, it is crucial that speakers interpret the play frame correctly. Bell (2002) identifies four cues that signal the opening of a play frame as follows "(1) laughter or a smiley voice; (2) unusual prosody such as very loud or very quiet voice, very high or very low pitch, and exaggerated intonation contours; (3) vocabulary which is associated with another genre; and (4) an interlocutor's humorous response or a response in the form of laughter" (Kozlova, 2008: 25)

#### 2.6.2.6.2. Identity construction through self-denigrating humour

Self-denigrating humour is a safe type of humour for speakers' identity construction since it strengthens the speaker's face which leads to solidarity and rapport between speakers and listeners (Boxer and Cortés-Conde, 1997; Schnurr, 2011). With this type of humour, the speaker demonstrates his/her conflicting face wants (Hay, 2001) by using their imperfection as the resource to initiate humorous utterances and make them the butt of the humour and hence creates a rapport with the hearers. Similarly, Glenn (1995) claims that when speakers target humour at themselves and make listeners laugh at them, "a micro-transformation of social structure" (p. 54) is accomplished and affiliation is promoted.

#### 2.6.2.6.3. Identity construction through teasing

According to Schnurr (2009: 1127), "[l]ike other types of humour, teasing constitutes one means of identity construction". Teasing humour is conceptualised as "a potentially insulting/aggressive comment but simultaneously provides/relies upon cues that the utterance is to be understood as playful/nonserious" (Alberts, 1992: 155). Teasing humour is used to perform various aims, such as to exert social control

(Eisenberg, 1986); to insult or criticise the listener, to express solidarity (Schnurr 2011; Boxer and Cortés-Conde, 1997). A crucial aspect of the teasing humour is “that the teaser does not intend the recipient to continue to believe the utterance is true, although he or she may intend the recipient to believe it initially” (Eisenberg, 1986: 182). Teasing utterances are therefore ambiguous since they affect the outcomes of teasing, in that they leave a hearer with a decision to make of whether the teaser is serious or not. If the humorous messages are interpreted correctly, the hearers might demonstrate this by either replying with a tease on a tease, defending her/himself (Eisenberg, 1986), by providing a non-serious reaction, e.g., exaggerated surprise. Failing to interpret teasing correctly makes the hearer the “butt” of the tease (Eisenberg, 1986). In the former case, participants can enjoy playing together and thus constructing a sense of solidarity; in the latter instance, the tease can display the teaser’s power and control (Schnurr, 2009; Boxer and Cortés-Conde, 1997). Owing to its ambiguity, teasing humour is found to be a valuable linguistic strategy to construct identities at work (Schnurr, 2009). In Schnurr’s study, leaders “construct their professional identities” by using teasing humour in ways that “exploit the specific discursive norms that characterise their respective working groups” (Schnurr, 2009). According to Schnurr (2009: 1126), leaders use teasing humour in normative and unmarked ways in order to secure work-oriented goals, and such ways of using humour “construct themselves as competent and effective leaders in the particular context of their working groups”.

### **2.6.3. Negotiating face**

This section reviews the concept of facework and how facework is relevant in this study. It begins with the revision of how face is conceptualized as a crucial relational work between interactants in one of the most influential works of Goffman. From that, a review of current thinking on the compatibility of applying Goffman’s notion of face in the context of analysing facework critically raised by scholars of linguistic politeness is undertaken. After that, the relationship between face and identity is discussed in order to see how such an understanding between these two phenomena can be relevant to the understanding of Vietnamese teachers’ identity construction in my study.



#### **2.6.3.1. Goffmanian conceptualisation of 'face'**

One of the most influential concepts of face was proposed by American sociologist Erving Goffman in his essays collected in the volume: *Interaction ritual: Essays in face-to-face behavior* (2005). In the first of these, 'on facework', Goffman cites the Chinese and American Indian concepts of face as sources that influence his own thinking. Among them, Goffman explicitly refers to and is indebted to Durkheim's work on the religious origins and nature of social activities, in his first four essays in the volume. While the first two essays centre around the function of face and its entailing behaviours for maintaining social order, the third one focuses on instances where the social ritual between interactants is broken. It is the latent embarrassment embedded in social interaction from Goffman's work that enables sociologists to research the cause of social breakdown and the rules that regulate social encounters.

What is crucial in Goffman's concept of face is the upholding of social beings' interdependence dimension that originated from Durkheim's model of society. The interactants' face is postulated very sacredly, as stated by Goffman (2005: 19): "acts through whose symbolic component the actor shows how worthy he is of respect or how worthy he feels others are of it". The collective self from Durkheim is replaced by a self-aware self in Goffman's work. Although the idea of individualism and self-aware interactants indicates that Goffman's notion of face is influenced by the privacy and independence from the contemporary Anglo-Saxon values, it should not be merely dismissed as egocentric (Bargiela-Chiappini, 2003). In face, the role of other interactants' evaluation and reaction is favourably expressed in Goffman's notion of face (2005: 5), since face is defined as "the positive social value a person effectively claims for himself [sic] by the line others assume he [sic] has taken during a particular contact. Face is an image of self delineated in terms of approved social attributes". Drawing from this definition of face, interactants are the guardians of the social encounters in which they project and protect the social positive values required to maintain the stage of equilibrium. Embarrassment will occur when the projected self is not sustained and such a failure can cause the opposite of comfortable and ease and be considered as "evidence of weakness, inferiority, low status, moral guilt, defeat, and other unenviable attributes" (Goffman, 2005: 101-102). Moreover, an individual's reaction to others' evaluation on one's face is not rational, rather it involves emotions. In other words, face is closely linked to emotion

and is “diffusely located in the flow of events in the encounter and becomes manifest only when these events are read and interpreted for the appraisals expressed in them” (p. 7). Hence, if another interactant’s face is harmed, it might result in anguish while harm to one’s own face can be expressed as anger. During social encounters, interactants maintain face through self-respect and considerateness. Face can be enhanced, maintained or threatened in social encounters.

Despite the crucial role in maintaining a seamless social encounter, according to Goffman, face-maintenance is not regarded as the object in interaction, but rather a condition of it. For Goffman, facework includes “the actions taken by a person to make whatever he is doing consistent with face” (2005: 12); these actions encompass both avoidance processes by which an actor seeks to prevent threats to face, and corrective processes employed to restore a state of ritual equilibrium or to ‘save face’ when face is threatened.

Goffman’s notion of face is partially adopted and developed into Brown and Levinson’s face-threatening acts (FTAs) (1987); however, the concept of face underpinning Brown and Levinson’s politeness framework is reformed and presented as a cognitive construct owned by a rational model person, rather than emotional as in Goffman’s. Their ‘model persons’ (MPs) (including speaker (S) and hearer (H)) in their face-saving approach to politeness were assumed to be independent and rational individuals who can think strategically and have full control of their language choices during interactions. MPs have two types of face: positive and negative. **Positive face** is defined as “the want of every member that his [sic] wants be desirable to at least some others” (Brown and Levinson, 1987: 62). While **negative face** might sound like the opposite of positive face, and is otherwise defined as “the want of every competent adult member that his [sic] actions be unimpeded by others” (ibid.). Brown and Levinson’s FTAs framework selectively draws on Goffman’s analytical construct and original observations, rather than critically engages in his work. Their framework faces criticism for the extensive elaboration of ‘negative face’ and the formulation of cognitive and radical actors that do not correspond to Goffman’s study of interaction. Brown and Levinson’s treatment of face departs from Goffman’s crucial attachment of face and ‘a line’. Particularly, ‘a line’ is “a pattern of verbal or non-verbal behavior acts by which he [sic] expresses his [sic] view of the situation and through this his [sic] evaluation of

the participants, especially himself [sic]” (Goffman, 2005: 05). Moreover, their negative face is heavily criticised for its universality claim, which is inapplicable to other culture grounds (Mao, 1994).

### ***2.6.3.2. Vietnamese concept of face***

This section reviews the concept of face in the Vietnam sociocultural context. Given the fact that the current study analyses data from Vietnam language classes, a review of the Vietnamese concept of face is necessary to understand the impact of culture on what are considered to be potential face threats in Vietnamese society.

#### ***2.6.3.2.1. Vietnamese face and social expectations***

Despite several similarities with Goffman’s notion of face, studies of face in Vietnam context has pointed out two main differences of Vietnamese face conceptualisation. The first difference is the link between face and social role/position and the second is what are considered to be the components of Vietnamese face.

While the Western notion of face tends to emphasise the awareness of others- and self-values and maintaining this in social encounters, the Vietnamese notion of face “tends to rely heavily on social expectations and public opinions” (T. T. Q. Nguyen, 2015: 204). The Vietnamese concept of face is not only seen as an ongoing and context-dependent process in interaction, it is also considered as an all-encompassing concept that “represents a person’s perceptions of their own important moral and social values and living principles as expected by society, which is quite stable and pervasive across interactions” (ibid.: 204).

Face in Vietnam can be referred to as ‘mặt’ and ‘thể diện’ and is comprised of two main aspects: (a) a person’s qualities and competence and (b) the qualities and features associated with the individual’s roles and positions. These two aspects are intertwined and a person will lose face when he or she fails to demonstrate their competence and qualities associated with their roles. It is therefore expected that “the greater and the more important the position and role one possesses, the larger amount of face one is entitled to maintain” (ibid.: 205). This feature of Vietnamese face comes from Confucianism, which emphasises the importance of individuals in particular personal/social roles and position (for example, a son/a daughter an employee/an employer) to fulfil their duties and responsibilities in society. This

culture is believed to be common in Asian countries such as Vietnam, China, Korea and Japan.

In comparison with face notions from nearby cultures, research shows that the Vietnamese concept of face is more exhaustive and all encompassing (Pham, 2014). Chinese notion of face consists of '*lien/lian*' as moral face and *mientzu/mianzi* as social reputational face; Korea's face, '*chemyeon*' comprises morals and ability, Vietnam's notion of face differs in the sense that '*mặt*' and '*thể diện*' embrace not only serious concerns but also less serious ones, such as one's clothes and appearance. In other words, Vietnamese face loss varies by moving and fluctuating on a continuum, while one end is internal moral quality and the other end is minor external expression.

#### 2.6.3.2.2. Vietnamese teachers' face

Drawing from the review of the teacher's role in society (Chapter I) and the importance of 'face' in Vietnam society in the previous section, it is unsurprising that research has found that face is a very important concern for Vietnamese teachers. A recent study by T. T. Q. Nguyen (2015) combining a corpus study of Internet language materials containing '*thể diện*' (face) and data from interviewing the teachers, has confirmed that Vietnamese teachers have a significant amount of face in society. Several qualities associated with Vietnamese teachers' roles and faces are identified in T. T. Q. Nguyen's study (2015), such as being knowledgeable, trustworthy, educated, mature, and a moral guide to students (Le Ha, 2004; 2008). The study also pointed out that knowledge is considered one of the most crucial components of Vietnamese teachers' face. Therefore, any instances where teachers fail to demonstrate a high quality display of their knowledge, such as cannot provide an answer to a student's questions, or students point out their mistakes, are viewed as causing great damage to teachers' face. In addition, Le Ha (2004; 2008) claims that being the moral guides is one of the core identities of Vietnamese teachers. Therefore, being treated with respect by students is another Vietnamese face need for teachers. Students' respectful behaviours, such as standing up when a teacher enters the classroom, or adding words such as '*thưa*' and '*dạ*' (at the end of sentences to show respect) when talking to teachers.

Another noticeable finding in this study concerns the face-saving ways that participants revealed in the interviews. Among the many face-saving strategies, the

majority of teachers suggest that ‘keeping distance from the student’ is necessary for maintaining teacher’s face. Other ways to avoid teacher’s face being threatened are being serious, strict and having a solemn style. This solemn style is similarly reported in Pham (2014) as the way teachers’ dress and their manner. When being asked to recall an instance of face lost during the interview in Pham’s study (2014), a high school female teacher reported her face loss as being seen by students when she was wearing “casual clothes [and] was very embarrassing” (p. 226). It is drawn from such an example that appearance and style do contribute considerably to Vietnamese teachers’ face.

This section has briefly reviewed the Vietnamese concept of face with particular reference to relevant studies about Vietnamese teachers’ face. Since face and facework are a relatively under-researched area in Vietnam, there are a limited number of studies that discuss the way facework is analysed in Vietnamese classroom interaction, other than those reviewed in this section. For that reason, in order to analyse facework in this current study, I will turn to the analytical framework of current facework studies that has been developed, by revisiting and critically engaging with Goffman’s face conceptualisation.

#### ***2.6.3.3. Analysing facework***

Owing to the current debate on the place of the emic notion of face and its relation to identity, scholars are driven to revisit Goffman’s conceptualisation of face (Locher and Watts, 2005) rather than following Brown and Levinson’s framework. This move of revisiting the ‘purer’ notion of face in Goffman’s work, however, does entail some problems. According to Bargiela-Chiappini (2003), the first problem is the narrow context of Goffman’s concept of face that was particularly established to examine interaction in North American settings. This explains why actors in Goffman’s notion of face are particularly concerned with protecting and enhancing their self-image (Haugh and Bargiela-Chiappini, 2010). Additionally, Arundale (2009) urges scholars to critically examine Goffman’s framework since it was established on Goffman’s observation and interpretation of his time where there was no social constructionism. In particular, Goffman relies on social psychology to elaborate his observation and interpretation, within which the role of the individual is centralised with regard to how he/she is influenced by or influences the social environment. Arundale (2009) therefore argues that although the role of interaction

is recognised, it becomes more apparent that Goffman conceptualises face as individuals' property and established firmly in an individual's cognition.

Due to these epistemological and ontological assumptions of Goffman's notion of face, the ways conversation analysts invoke either Goffman's work or Brown and Levinson's notion of face seem to be problematic. The reason for this is the inconsistency in the epistemological and ontological assumptions of these two face conceptualisations with those committed by conversation analysts. While conversation analysts assume a constructivist epistemology, they are using a notion of face, which is grounded in objectivist epistemology (Haugh and Bargiela-Chiappini, 2010). This therefore leads to a need for a theoretical shift in the notion of face that is grounded in social constructionism. In other words, face is no longer considered as personal and firmly embedded in individuals' cognition, rather it is fundamentally relational, dynamic and emerging from interaction (Arundale, 2006; Schnurr and Chan, 2011a).

In terms of analysing facework, as opposed to the ways facework was quantitatively analysed at the sentence-level in previous studies, a discursive facework account requires the examination of longer stretches of talk based on the belief that facework "[is] not instantiated in individual utterances but [is] played out over discourse level units" (Mills, 2011: 47). By adopting a discourse analytical framework, the analysis of facework "will focus primarily on discursive details, including participants' use of discourse markers, lexical choices, self- and other-repairs, pauses, overlaps, laughter, and tone of voice" (Geyer, 2008a: 60). Additionally, to be in line with social constructionist's thinking, there is an analytical move from having the analysts alone decide which facework arising in the interaction to integrating the participants' evaluation into the analysis (Arundale, 2013).

#### **2.6.3.4. *Face and identity***

##### **2.6.3.4.1. Reassessing the differing view**

With the discursive turn in linguistic politeness and identity construction, politeness scholars have started to be concerned with the relationship between face and identity. Despite their similarities and the fact that the study of face and identity has marked a cornerstone of politeness theories and modern sociological thought, little work has focused on the intersection between these two phenomena. Some scholars have attempted to draw a clear demarcation between face and identity (Spencer-Oatey,

2005). The main four dissimilarities between face and identity from some of the attempts are precisely summarised by Blitvich and Sifianou (2017) as follows:

- a. Face is a social attribute, identity is an individual one
- b. Face is relational, the result of a non-summative process; identity is the property of monadic individuals, the outcome of a summative process.
- c. Face is a punctual phenomenon, while identity is a durative one
- d. Face is invested with emotions, while identity is not

Recent studies on discursive politeness conversely argue that regardless of the attempt to separate face and identity, the distinction between face and identity is in fact much fuzzier. Indeed, these claims are formulated on the premise that is no longer advocated by the more current movement of identity studies and the approach in my study. Specifically, with regard to the first two differences, identities are no longer considered to be what individuals possess, but rather a relational phenomenon that emerges from interaction. Joseph (2013) further clarifies that, similarly to face, identity does not belong to the owner who projects it, but to the people who interpret it. Thus, both face and identity depend on the uptake and evaluation of the recipients.

Reconsidering the durative feature assigned to identity from claim (c), it seems to be the case that this distinction is built on the assumption that identity is something static and retains its sameness over time. The discursive approach of identity, conversely, views identity as something constantly negotiated, multiple and fragmented. Constructing identity is a constant process, and thus it is in constant transformation. On the other hand, more empirical studies are required to examine whether or not face is ephemeral. This problem is succinctly pointed out by Haugh and Bargiela-Chiappini (2010):

...on the one hand, identity has increasingly been conceptualized as rooted in interaction and thus less enduring than previously thought ... while, on the other hand, according to emic or folk conceptualizations, face is often seen as enduring across interactions unless otherwise challenged. (p. 2073)

Blitvich and Sifianou (2017) argue that the reason why face has been seen as ephemeral is rooted in Goffman's initial notion of face, which emerges between most unacquainted actors, whereas there are limited works studying face between intimates or people who are in regular contact. Therefore, more empirical studies of

face on long-term relationships are required to understand how face is maintained and unfolded in such contexts.

With regard to the last distinction that separates face and identity in relation to emotional attachment, the view that considers identity as not affectively loaded contradicts identity scholars' views on the issue. According to Garcés-Conejos Blitvich (2013), being verified or non-verified can be linked to positive or negative emotions. These positive and negative emotions associated with face can also be associated with an identity. For instance, by telling people that they are not who they claim they are can result in sadness or anger. I would feel sad or offended if someone whom I consider to be my friend introduces me as an acquaintance. Hence, "both identity and face are essentially affective phenomena and are associated by claimants with certain attributes and not others" (Garcés-Conejos Blitvich, 2013: 08).

#### 2.6.3.4.2. The interweaving between the two

What is drawn from this brief aforementioned account of the contrasting view between politeness scholars and that of identity scholars demonstrates a not clear-cut distinction between these two phenomena and hints at an understanding of face and identity being interconnected and intertwined. In fact, the close interconnection of role/identity and face can be traced back to Goffman's account. In his later work, Goffman seems to liken face to role/identity where role is stated as "some special capacity as a member of a group, office, category, relationship, association, or whatever, some socially based source of social identification" (Goffman, 1981, cited in Garcés-Conejos Blitvich, 2013: 12).

Moreover with the discursive turn in both linguistic politeness and identity, researchers have reconsidered and put forward some new thinking in the field (Blitvich and Sifianou, 2017). According to Haugh and Bargiela-Chiappini (2010), face has traditionally and mostly been seen as the underpinning of various forms of (im)politeness; however, face should be theorised on its own and not only grounded on (im)politeness theory. Some empirical studies have demonstrated the close interrelation between (im)politeness and identity construction (Blitvich and Sifianou, 2017; Joseph, 2013). Therefore, face and (im)politeness evaluations can be linked to identity construction.



Furthermore, researchers have gradually established that identity and face are inseparable and co-constitute each other (Locher, 2008; Joseph, 2013). For instance, towards his conclusion of the analysis of facework between a German linguist and his interviewees on the Scots' language and Scottish identity, Joseph (2013: 51) states that "[w]hat has emerged from this analysis is the difficulty of separating identity work and face work, at least in any conversation where language and identity are part of the subject matter". Blitvich and Sifianou (2017) stress that although more empirical studies are needed to greater theorise the differences and similarities between face and identity, it becomes more apparent in practice that these two phenomena are difficult to be teased out. Indeed, the implicit indexical relationship between face and identity has increasingly been discussed more explicitly. Joseph (2004) argues that there is no direct link between an utterance with what is considered as politeness/impoliteness, rather it is the participants who evaluate and assess what is polite and what is not. And indeed, being polite is one of the attributes that an actor wishes to be accepted as a part of his/her identity. Geyer (2008b: 50) elaborates on the close relatedness between face and identity by explaining, "an interactant's face manifests itself as his or her interactional self-image, which is determined in relation to others, discursively constructed during a particular contact, and closely aligned with the participant's discursive identity". As facework is becoming more interdisciplinary, some politeness scholars adopt analytical frameworks that are associated with those in identity construction studies (Locher, 2008). Locher (2008), for example, suggests how relational work can be fruitfully analysed when combined with Bucholtz and Hall (2005) sociocultural linguistic identity framework.

As a conclusion drawn from the previously discussed review, facework and identity construction are closely related and the analysis of facework can be fruitfully combined to study the identity construction. In other words, by projecting alignment or opposition (doing facework), the interactants demonstrate their orientation to the face-wants of others, and hence position theirs and others' identities (Geyer, 2008b). All in all, the emic notion of face and the understanding of the relationship between face and identity are particularly relevant to my study. By examining the negotiation of face from teacher-student classroom interaction, the Vietnamese teachers' identity can be fruitfully explored. The following section summarises this chapter by

conceptualise the interrelation between the concepts and notions reviewed in this chapter.

## 2.7. The interrelation of different strands - teachers' identities, beliefs, power relations and discourse strategies

Previous sections have provided an overview of the key aspects which are put forward in this thesis as relevant theoretical foundation for a conceptualisation of teachers' identity construction. This section summarises the chapter by attempting to bring these key notions and concepts together. The connection between these key concepts and notions, such as teachers' beliefs, classroom power relations and teachers' identities, are illustrated in figure 2.1 below:

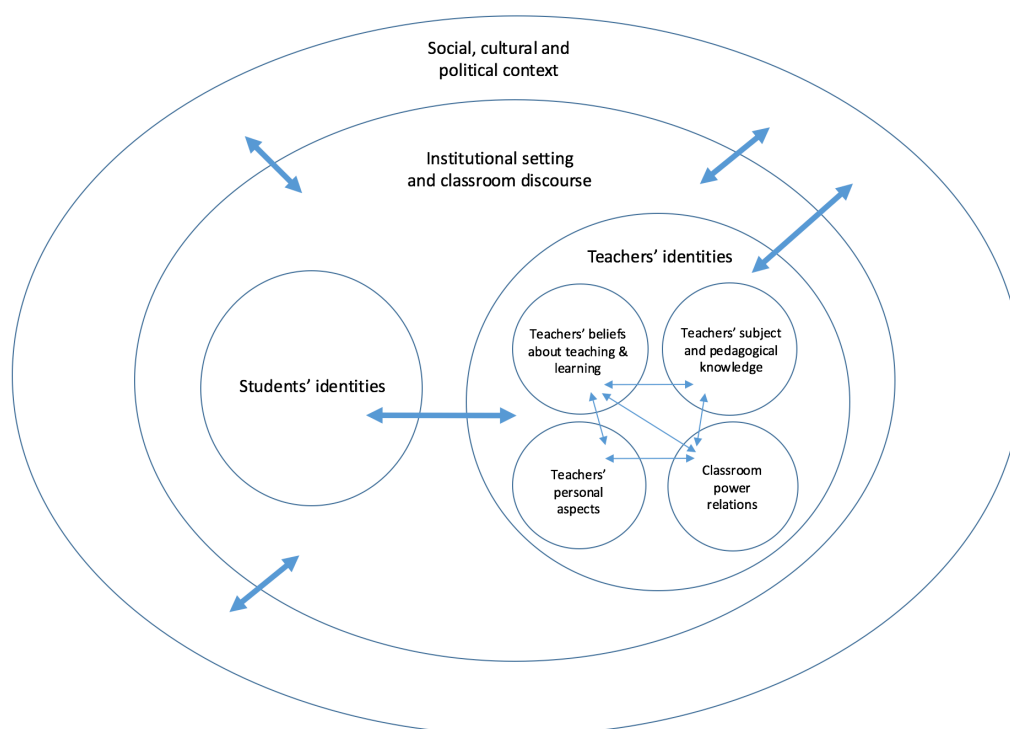


Figure 2.1. The interrelation of different aspects in teachers' identities

As seen in the figure, teachers' identities are conceptualised as an all-encompassing term which comprises both teachers' beliefs and teachers' knowledge. It is certainly true that many factors can shape and influence the construction of teachers' identities; however, the reason why belief systems and power relations are crucial in the teachers' identity formation in this thesis is because when constructing their identities (or making identity claims), the teacher not simply position themselves in certain ways, linguistically. More radically, underpinning any identity claim is an

intricate connection between teachers' identities, their knowledge and beliefs around teaching and learning, for instance how knowledge should be delivered, and how teachers address the power asymmetry between teachers and students inherent in the classrooms. When a teacher portrays him/herself with being the knowledge expert/ the authority, in this particular way of positioning, the teacher not only reinforces certain attributes, such as being informative and knowledgeable, as those crucial to being a teacher. This positioning can indirectly reflect a certain extent of his/her beliefs that knowledge should be one-directional in teaching-learning settings (being transmitted from the teacher to the students). And when this position is constructed, it also impacts on the classroom's power dynamics in which the teacher is in control and more powerful because he/she actively transmits the knowledge (knowledge expert, the authority), and the students are less powerful as they are inactive receivers of knowledge. Teachers' identities therefore structure and underpin many professional and interpersonal aspects of classrooms.

As one of the theoretical foundations of the thesis, classroom power relations are relevant to the understanding of Vietnamese teachers' identities as they are omnipresent and do relational work in institutional settings (Mayes, 2010). And since "relational work is embedded in identity work" (Blitvich, 2013: 17), how power comes into play through discursive actions can inform teachers' identity work. In addition to the specific cultural context of Vietnam education which greatly values the role of teachers, the normative asymmetrical relationship between teachers and students in educational and institutional settings has been highlighted in many educational studies (Wenren, 2014; Gómez Lobatón, 2012; Mayes, 2010). The underlying force for such asymmetry is closely related to the issue of which party has better access to knowledge or epistemic rights. In other words, in the institutional context of classrooms, what teachers know and how they establish their right to that knowledge can be linked to their identity construction. As demonstrated in figure 2.1 above, however, the teachers' powerful position, originating from both their subject and pedagogical knowledge, is theorised as not fixed and in a constant negotiation with the student's position and identities. Stated differently, "power circulates through individuals, it is interesting to notice how it goes back and forth; teachers and students then, can be in control through words, gestures and even silences that no longer define the teacher as the politically powerful figure in the classroom setting"

(Gómez Lobatón, 2012: 65). It should be noted that while students' identities may be equally complex, as this thesis focuses exclusively on teachers' identities, the circle for student identities is less complex in this figure.

All of the relevant social constructs, including power relations, beliefs, knowledge and identity construction are realised through language and discourse of some sort. In other words, "claims of identity relevance, and, say, any forms of power or inequality that might be associated with them, must be demonstrably linked to particular actions in talk" (Benwell and Stokoe, 2006b: 37). Examining Vietnamese teachers' identity construction from a linguistic point of view, through teacher-student interaction in the classroom, therefore involves the crucial role of classroom discourse and the teachers' deployment of various linguistic repertoires to do discursive identity work. Among many linguistic repertoires, CS, humour and facework are some of the discursive strategies and processes that teacher draw from to manage relational work (i.e. power relation) and construct their identities. While code choice is an additional resource for speakers to negotiate identities in bilingual contexts through stance-taking (Jaffe, 2007; Jaffe, 2009; Nafa, 2015), the multifunctionality of humour, such as to get things done, to signal group membership and challenge the status quo, has made humour another great linguistic strategy for identity negotiation (Schnurr, 2009; Schnurr and Chan, 2011b). And finally, speakers can construct their identities through doing facework, such as taking certain positioning by establishing and claiming certain face or challenging or threatening others' face (Geyer, 2008a). The process of positioning oneself and others using these three discourse strategies and processes is governed by many contextual factors and the dynamic power relations emerged in the classroom discourse (as seen in figure 2.1, both teachers' and students' identities are realised and embedded in the classroom discourse). This explains why these discursive discourse strategies, such as CS, humour and face negotiation were reviewed in this chapter as the three main linguistic focuses in this thesis. The reason for the selection of these three strategies is elaborated further in the coming chapter where details of how these linguistic strategies emerged from the analysis phase are provided (section 3.7, p. 101).

In sum, this chapter has reviewed and considered the relationship between key theories and concepts, which are relevant to the investigation of Vietnamese

teacher's identities in classroom discourse. The next chapter discusses the methodologies used in this study in order to seek answers to the questions and aims of this research.

## **Chapter III – Research Methodology**

This chapter details the methodology and data collection procedure proposed for this study. First, it provides the rationale for the selection of the research paradigm on which this research is grounded. From such a position, the discussion on the selection of a qualitative case study method is provided. With regard to the data collection process, this chapter also explains participant selection and how data are collected from three research instruments: recording classroom interaction, interviewing participants and classroom observation. The chapter ends with a brief explanation of how the data are processed and analysed in the study.

### **3.1. Research paradigm**

Different worldviews can lead to different models of examining and understanding the reality and the research inquiry in question. Whenever a research paradigm is under consideration, it calls into question researchers' philosophy of three main theoretical premises: ontology, epistemology and methodology. While ontology refers to researchers' view of the nature of reality, epistemology concerns researchers' viewpoint about the theory of knowledge and how knowledge can be obtained and discovered (methodology) based on such ontology and epistemology. In my investigation of the identity construction of Vietnamese teachers' identity, there is a set of beliefs regarding these three premises that underlies and determines my research design and activities.

The research paradigm of my study is grounded on the social constructivism paradigm, which holds a relativist ontology and subjectivist epistemology. Situated within this philosophy foundation, my research advocates constructivism's view of the world's reality as "...holistic, multidimensional, and ever-changing...not a single, fixed, objective phenomenon waiting to be discovered, observed and measured" (Merriam and Tisdell, 2015: 242). In other words, there is no single truth or reality, since it is people's experiences and their unique ways of interpretation that construct the surrounding world realities. Moreover, as opposed to positivism's theoretical understanding of knowledge as objective and tangible, relativists believe knowledge is created by meanings and experiences. Through these ontological and epistemological beliefs, researchers' aim is to explore the various realities and knowledge constructed and created from the participants' experiences and their

contexts. Such an exploration involves a qualitative/inductive approach, which differs from positivism's quantitative/deductive approach. Specifically, realist researchers remain distant from the research subjects in order to avoid personal interference in a deductive approach. Relativist researchers, on the other hand, investigate the participants' experience, contexts and their process of meaning negotiation through interacting; hence, in the constructivism paradigm, qualitative research methods are developed to describe and interpret social realities. The details of this methodology are discussed in the following section.

## **3.2. Research design**

### **3.2.1. Qualitative research**

Based on a constructivism paradigm, a qualitative research is designed to seek a better understanding of "how people interpret their experience, how they construct their worlds, and what meaning they attribute to their experiences" (Merriam and Tisdell, 2015: 15). The overall goals of qualitative research are to interpret social realities in their natural settings (Denzin and Lincoln, 2000), which differs from testing hypotheses and finding the cause and effect of the phenomenon in quantitative research. Such an understanding is obtained from an emic approach, which is from the participants' perspectives rather than from researchers' perspective. In other words, instead of forming hypotheses and carrying out deductive testing methods in quantitative research, interpretive researchers collect data and gradually develop their theories and concepts from what is learnt in the field. Moreover, qualitative research views researchers as the primary instrument for data collection and analysis (Merriam and Tisdell, 2015). This position is ideal since researchers can be responsive and adaptive during data collection and analysis; researchers can expand his or her understanding through both verbal and non-verbal communication, asking participants for accuracy of interpretation and exploring interesting responses or patterns. Lastly, qualitative research requires researchers to be situated within the socio-political and cultural context where various approaches to investigate the research problems can be employed, for instance narratives, ethnography, grounded theory and case studies (Creswell and Clark, 2011). These approaches therefore lead to a development of numerous methods to explore researchers' objectives, including "...interview, focus group discussion and naturalistic observation" (Tuli, 2011: 100). The following section discusses the

suitability of the qualitative case study approach to the investigation of Vietnamese teachers' identity construction in my study.

### 3.2.2. Qualitative case study research

There has been no unified definition of a case study since “the process of conducting a case study is conflated with both the unit of study (the case) and the product of this type of investigation” (Merriam and Tisdell, 2015: 37). However, Simon's definition of a case study seems to capture the general understanding and versatile features of case study research, which is applicable to this investigation:

Case study is an in-depth exploration from multiple perspectives of the complexity and uniqueness of a particular project, policy, institution or system in a “real-life” context. It is research based, inclusive of different methods and is evidence-led. (Simon, 2009: 21)

Put differently, the focus of the case study is to explore and provide an in-depth analysis and description of a particular *case/cases* through various sources of information and techniques. According to Merriam and Tisdell (2015), what is to be considered as *a case* needs to be a bounded system, “a single entity, a unit around which there are boundaries” (p. 38). The case thus can be a person, a group, an institution, a community or a policy. One important characteristic of a case study is that it is evidence-led and not method-dependent; this not only means that “[t]he case itself is important for what it reveals about the phenomenon and for what it might represent” (Merriam, 2009: 43), but the case can also influence the way researchers develop the methodology in the research and is particularly well suited to producing concrete and context-dependent knowledge (Flyvbjerg, 2006).

Case study research has been selected for this study since “case studies are the preferred strategy (for doing social science research) when ‘how’ or ‘why’ questions are being posed, when the investigator has little control over events, and when the focus is on a contemporary phenomenon within some real life context” (Yin, 1994: 13). Stake (2005) distinguishes three types of case study. The *intrinsic case study* refers to a case study undertaken not to gain an understanding about an abstract phenomenon or developing concept; instead, researchers' intrinsic interest regarding a particular case, such as a particular child or organisation, is the drive to carry out this type of case study. The second type, *instrumental case study*, is carried out to support or facilitate further insights into an issue. This research is grounded on the



third type of case study, the *collective case study*, where “...a number of cases may be studied jointly in order to investigate a phenomenon, population, or general condition” (Stake, 2005: 445).

All of the above characteristics indicate that qualitative case study research serves the purposes of my study, which seeks to understand how Vietnamese teachers’ identities are negotiated and constructed in classrooms. In order to do so, the main source of data for investigation in this study is authentic classroom recordings. Other qualitative techniques such as interviews and observations also play a prominent role as ‘additional information’ resources to strengthen the findings. Besides the sociocultural linguistics adopted from (Bucholtz and Hall, 2005), my research also draws on some conversation analysis-inspired tools and discourse practices to interpret and generate findings.

### **3.3. Research process**

#### **3.3.1. Data setting**

The data collection took place in two prestigious and well-accredited language centres in Haiphong city, namely ABC and Englishforall (these names have been changed for confidentiality purposes). Having different educational goals in comparison with the language departments in several universities in Haiphong, language centres play a crucial role in offering practical and on-demand language courses for the public. These two centres have been selected not only due to their reputation but also their English for communication courses, which are favourable for the requirements set within this research due to the highly interactive aspects of these courses. According to recent research in Vietnamese education, teaching English in Vietnam is dominantly passive and teacher-centred (Pham, 2007; Le, 2011). Additionally, teaching English is more associated with teaching grammar, reading and writing. The neglect of English communication skills, in turn, encourages passiveness and unassertiveness in communication skills and especially in listening and speaking skills. There are cases of Vietnamese students who have been learning English for about ten years yet are still struggling to communicate in English. As a result of this situation and to meet the demands of foreign companies, students from several universities throughout Haiphong city have sought good communicative English classes outside their school curriculum to enhance their English ability.

The two language centres' total annual student intake is approximately 10,000 students, of which around 70% enrol in English for communication classes and the remainder accounts for other English courses such as English for children, IELTS and TOEFL courses. Although the majority of students enrolling in these language centres are university students, there are also adult learners who attend English classes to improve their English ability due to their workplace requirements. The main features of the language centres' courses are that they are short courses divided into different levels from beginner to advanced. The duration of these courses is approximately three months. Since they function as additional English classes, most of them are taught in three time-slots from 15:00-16:30, 18:30-20:00 and 20:30-22:00. The time phase allocated for me to come and collect data was from 18:30-20:00. The director of the language centre advised that this time was the most suitable since the classes started one hour after formal school finished. Moreover, relatively few students attended the last class (from 20:30 to 22:00) as it was too late. Thus, the data collection had mainly been conducted during the second shift communication classes. The number of students varied from 10 to 20 students per class. These features of the data collection site were considered in order to collect the most suitable data for the purpose of this study. The following sections will describe the selected sampling.

### **3.3.2. Selection of participants**

#### ***3.3.2.1. The teacher participants***

In order to investigate the teachers' identity enactment in the context of teaching English in Vietnam, it was essential to invite a specific group of teachers to take part in the research. Adapting the 'criterion sampling' strategy (Dörnyei, 2007) which involves selecting participants who meet some specific predetermined criteria, the teachers who were invited needed to fit specific categories of the research plan in terms of age, years of experience and the programmes their classes offer. More specifically, the study invited teachers aged 25 to 30 years old. The reason for choosing this specific age group was that I sought to examine the classroom discourse patterns and identity construction of teachers who were presumably more exposed to current trend new and creative teaching methodologies in Vietnam. As these teachers were encouraged to use innovative teaching methodologies and less constrained by traditional teaching styles, the data examined how these teachers

constructed their identities in the new teaching approach and the way in which power and other issues were raised and negotiated within the classrooms. With regard to teaching experience, it was considered that teachers who have several years of teaching experience could have developed the ability to reflect on their lesson plans and understand how best to deploy particular methodologies in their teaching styles. Thus, three years of teaching experience was a minimum criterion for selecting teachers in this study.

The last selection criterion for the participants was the type of programme that the language centres offer. The selected type of language classroom in the language centre was communicative; having more than three years of teaching experience in teaching English for communication purposes, I found that the nature of communicative classrooms could accommodate the exploration of teachers' identity formation from a sociocultural linguistic approach. Differing from other English courses for adults, the communicative courses in the language centre are designed to provide extra interactive situations for students. Discussions are more likely to happen between teachers and students in communicative classes. Hence, when the interaction and discussion unfold in the classroom, there is a higher likelihood that classroom discourse can capture the ongoing process of teachers' identity construction.

### ***3.3.2.2. The student participants***

The targeted group of students includes those who are in their first or second year of their undergraduate degree. The students' English level is from intermediate to upper-intermediate, which is closely equivalent to level B1 in Common European Framework of Reference for Languages (CEFR). The students in this level can communicate in English, albeit with a moderately limited range of vocabulary and speech; they can certainly take part in discussions with the teacher and peers about topics related to daily life. By selecting this group of students, it is possible to capture active discussions between the teacher and the students in their classroom. University and adult students have been chosen as subjects in the data collection because of the presumption of their high level of self-consciousness and social understanding; undergraduate and adult students are assumed to have a fully developed understanding of the society values and professional aspects of the classroom. This student group is also more independent and presumably does not

hesitate to express their personal opinions in comparison with primary, secondary or high school students, whom teachers mostly have to shape and nurture.

Thus far, the intention of selecting classrooms with particular groups of participants was to capture better the construction of these Vietnamese teachers' identities in the context of historical, economic and educational change. While the teachers were active and innovative in terms of teaching methodologies, the students were outspoken, critical and less constrained by conventional thinking. Through this decision, I maximised the chances for conversation to occur in order to acquire quality data for the investigation of Vietnamese teachers' identities.

#### ***3.3.2.3. Entering sites, recruiting participants and gaining trust***

With a detailed plan of the teachers' age group and type of classroom to aim for, I contacted three main language centres in Haiphong city, ABC language centre, Rainbow and Englishforall. Among these three language centres, I have worked with the director of the ABC language centre during my MA project and hence asking to regain access this time for data collection was more straightforward. The director of ABC also helped me to approach the directors of Rainbow and Englishforall. In order to gain access to Rainbow and Englishforall, I had contacted the directors of these two language centres before leaving UK for my fieldwork. Through emails and phone calls, I introduced myself and clarified the aim of my research, highlighting the importance of gaining support from the two language centres. However, due to Rainbow's current adjustment in personnel, I only received permission to access Englishforall, making a total of two language centres for data collection.

Although I had been granted access to the two centres, the participant recruitment process relied fundamentally on teachers' decisions rather than being approved by the language directors. In other words, I needed to approach each teacher from ABC and Englishforall to invite him or her to join the study. I considered this fact as an advantage rather than a disadvantage for two main reasons. Approaching the teacher myself to ask for their participation avoided making the teachers feel being forced top-down to join something they did not want. And secondly, I could take this opportunity to explain in-depth the purpose of my study and address any concern that the teachers might have. Since "[i]t is important for one to gain the trust and acceptance of the participants in order to conduct one's research" (Johl and

Renganathan, 2010: 42), inviting the teachers on my own was also an occasion for the teacher and me to get to know each other.

For my first stage of negotiating access, I attended the weekly meetings of both language centres, which took place every Monday. In these meetings, the directors introduced me, the general purpose of the study and the possible duration of my fieldwork. After the meetings, the directors also provided me with a list of teachers who were working in the centres, including their timetables and contact numbers. I followed this list and contacted each individual teacher to ask for an appointment. The meetings took place in casual places, such as the language centre's cafeteria or a coffee shop near to the teachers' houses. From the position of a researcher on identity construction, in these appointments, I was fully aware of my role and the possible impact of the power dynamics during recruiting participants and interviews with the participants. In order to minimise the potential negative distance between myself – a researcher and the teachers – those being researched, I intentionally did not make my research the focus of our first appointment. Rather than spending the whole time explaining and talking about my research, I intentionally showed my interest in getting to know the teacher by letting the conversation open for other aspects surrounding the teachers' lives. It was interesting to notice that our conversations spanned various topics, such as work-life, relationship with students and numerous issues around teaching methodology. Being a teacher myself, I could draw from my previous experience to share and talk to the teachers, but by no means conveying that I was any better than what they were doing. By sharing my experience, I not only shared the positivity I had achieved, but also moments of uncertainty and difficulties that I had encountered in these areas. By doing so, I could occasionally stress the importance of having the teachers participate in order to address some of these issues together. It was clearly mentioned that a report of the research results would be sent to the teachers for their self-study. Furthermore, a workshop focusing on teachers' identity-related reflection with publication opportunities was another exciting outcome of this study (the workshop is proposed in Chapter VII). All of the appointments were therefore warm and friendly conversations between the teacher and me. I believe that these appointments helped me not only to invite the teachers to participate in my research project, but also establish trust and relationship with them. In total, I contacted eight teachers who

matched the proposed categories of my research and received participation and support from five of them. Details of teacher participants are presented in Table 3.1.

Table 3.1. List of teacher participants

Language centre	Names of the teachers	Age	Gender	Years of experience	Teaching courses
ABC Language Centre	Jack	27	Male	8	English for communication, TOEIC
	Jane	30	Female	8	English for communication, IELTS, Creative writing
	Joy	27	Female	5	English for communication, Pronunciation
Englishforall	Claire	29	Female	3	English for communication, IELTS, English for beginners
	Hope	25	Female	4	English for office, English for communication

In order to enhance the relationship and build trust with the teachers, I acknowledged that this process would take time and effort. I was fortunate because during my fieldwork, I was offered a teaching position in the ABC language centre as a guest teacher. This meant that I did not have to be in charge of a whole course but would co-teach three 90-minute lessons per week. I instantly accepted this opportunity and also invited the teacher participants to observe my lessons if they wanted to. After every lesson, we gathered and I asked for feedback from the teachers. By inviting the participants to join my classes, I believe that a mutual working environment was established between the participants and me. Also, by showing them how I did my lessons, I wished to bridge the possible power relations between researcher and participants and hence improve my relationship with the teachers.

### 3.4. Research methods and instruments

As stated in the previous section, this research examines and explores the identity formation of Vietnamese teachers following the social constructivism paradigm,

which emphasises the crucial role of language in negotiating and constructing social actors' identities. In order to pursue my investigation, authentic classroom interaction data had been obtained in conjunction with data collected through qualitative interviews and classroom observation.

#### **3.4.1. Recording data**

According to Drew (2005: 74), as well as playing a prominent role in building and maintaining relationships in people's lives, by talking and communicating we can convey "who we are to one another". It is certainly essential to obtain authentic classroom interactional data as the main source to investigate the formation of teachers' identities. Consequently, audio recording devices were used to collect actual classroom interaction. Recording, transcribing and studying the tapes is essential, since this process allows researchers to "...focus on the 'actual details' of one aspect of social life" (Silverman, 2004: 319), for example identity construction and social relationships in the data. Furthermore, drawing on some CA-inspired tools and discourse practices, the research takes into account the web of elements in real classroom conversations. This process cannot be achieved by exploring the details of a conversation from mere memory or observation. By recording the classroom conversations, it is certainly convenient to replay the data, listen to unclear sounds and improve the transcription (Drew, 2005).

#### **3.4.2. Classroom observation**

In conjunction with recording classroom conversations, the next research instrument used in this study was classroom observation. There was a consideration between choosing 'structured' or 'unstructured observation'; whilst 'structured observation' involves researchers observing with a specific focus on finding a list of predetermined characteristics and patterns, 'unstructured observation' is not as clear as 'structured' and does not focus on observing any particular characteristics. Instead, it involves observing the participants from the beginning till the end in order to later determine the significance of the context (Cohen *et al.*, 2013). Since the purpose of this study is to ascertain significant features of classroom discourse in relation to teachers' identity construction, the unstructured type of classroom observation was better suited to the task. This did not mean that I came and carried out classroom observation without any prior preparation; rather, I closely followed and noted down different stages of the lesson, for example, warm-up, teaching

vocabulary or discussion. Additionally, any emerging or noticeable phenomena in the classroom talk were noted down to complement the analysis and discussion (See Appendix F for an example of observational note). I also focused intently on the discussion aspect of each lesson since this is the section where teacher-student discussion, negotiation and influence occur the most. Thus, the discussion section required more effort in comparison with the other stages of a lesson.

My role during the classroom observation was determined before the observation took place. I either chose to be a non-participant or a participant-observer in the classroom. In the particular setting of the targeted classrooms for this research, I took on the role of a partial participant. The purposes of these communication classrooms are to provide opportunities and encourage the students to communicate in English. Hence, rather than joining in every part of the lesson and interrupting learning opportunities, I only engaged with students during the discussion parts. Moreover, I did not want to influence the flow of the classroom interaction or interfere with the teacher's teaching style. In other words, I took part in pair or group work activities with students, but did not actively participate to the extent that the overall performance of the group was influenced.

### **3.4.3. Qualitative interviews**

Among other instruments used to obtain data, qualitative interviews were chosen owing to their distinctive features in comparison to surveys or questionnaires. In surveys and questionnaires, a list of questions is sent to potential participants. Although this might be advantageous in terms of cost and travelling (Phellas *et al.*, 2011), the list of questions in surveys or questionnaires is normally simple and designed according to a limited category in order to “maximize the reliability and validity of measurement of key concepts” (Bryman, 2004: 313). The simplicity of the questions used in surveys and questionnaires is due to the desire to cover a large number of participants (Phellas *et al.*, 2011). In contrast, the interviewing approach in qualitative research is more general in terms of the research's idea formulation than in examining a fixed set of categories. Moreover, qualitative interviews are especially flexible as I can depart from the interview guide in order to obtain rich insights into the interviewee's perceptions and opinions. Drawing on these general advantages and in alignment with the consideration of the research's purpose,



qualitative interviews have been selected as the second useful instrument to generate data for this study.

#### ***3.4.3.1. Choosing the type of interview***

In terms of the three types of interview used in qualitative research – structured, unstructured and semi-structured – the semi-structured interview has been chosen (Magnusson and Marecek, 2015) . There are a number of reasons for this option. Since this research investigation begins with a fairly clear focus rather than a general notion of wanting to conduct research on a topic, semi-structured is preferred as it helps to address more specific issues. Moreover, although the interviewer works from an interview guide with items listed in a specific order, it is unnecessary to strictly adhere to that order for every participant. Semi-structured interviews allow me to adapt to any sequence of topics that may arise from the flow of conversation (Bryman, 2004).

#### ***3.4.3.2. The dilemmas of qualitative interviews***

Recent research has raised concerns about missing the critical dimensions in qualitative interviews, including co-construction, a greater focus on the interview, the interactional context and the ‘what’ and the ‘how’ (Mann, 2010). These insightful issues have raised awareness regarding how qualitative interviews are carried out in this research. Missing the reflexive dimension in qualitative interviews is rooted in the standpoint of conceptualising an interview as an ‘active’ event and as a constant meaning-making venture. This is to stress that the focus of any interview should not be put on the interviewee *per se*; as a co-constructed setting, the identity, value and perception of both the interviewer and the interviewee interplay and shape the interview. In addition, the interactional context in which the interview occurs is often neglected. The interactional context includes missing information in the participant’s selection categories, for instance their position and relationship with the interviewer (Magnusson and Marecek, 2015). Moreover, the interactional context also covers my awareness regarding the nature of a qualitative interview with its own generic expectation. In other words, no matter how much I want to obtain information and understanding relating to the participants’ context, they need to be aware that the interview is an interactional and independent event on its own. On the whole, an interview is constructed and developed out of each utterance made by the interviewer and interviewee. Therefore, as a researcher, if too much focus is placed

on eliciting information from my participants, there is a risk of finding only the ‘what’ rather than the ‘how’. This highlights the co-construction nature of the interview: if there is too much focus on ‘mining’ the interviewee (Mann, 2010) the importance of how to obtain information on the level of each turn and the process of conducting an interview might be forgotten. This opens up a great deal of consideration for a researcher, such as the level of sensitivity needed to address problems that arise during the interview (Mann, 2016) and how he or she listens to the participant, selects wording for the interview questions and reflects on the interview process.

Strongly advocating this critical viewpoint toward qualitative interviews by taking the position that “students underestimate the interview task” (Mann, 2010: 14), the interviewing process of this research was carefully designed and carried out in each stage. The next section details the procedure based on which interviews were carried out in my fieldwork.

#### ***3.4.3.3. Interview questions and interview guides***

Since semi-structured interviews were selected to obtain data, open-ended questions were designed to obtain insights into the interviewee’s opinions and experience. In the teacher interviews, the questions were designed according to two different interview phases. In the first phase, the intention was to understand the teachers’ general perceptions about their roles and identities in the classroom. The questions in the phase one-teacher interviews thus were general, for example “Could you tell me your opinions about the role of the teachers in the classroom?” Additionally, situational questions about incidents of conflicting roles and authority in the classroom were included in order to obtain the teachers’ responses and reactions (see Appendix E for an example of interview transcript). In the phase two-teacher interviews, follow-up questions were designed to check the meaning of specific interesting utterances or obtain further details about the classroom interaction sequence. Drawing on the transcriptions, the follow-up questions in phase two were more focused on seeking clarification, such as “Would you please explain why there was laughter in that case?” The questions in the phase-two teacher interviews were evidence-led and designed alongside the data transcription. Meanwhile, interview questions in the students’ interviews (phase one) revolved around the students’ perceptions of their classroom environment and the relationship between students

and teachers. The questions were designed based on these areas since it was believed that the responses could highlight other interesting aspects of the teachers' personalities and roles. The lists of questions in the phase-one teacher interviews and students' interviews are presented in the interview guide in Appendix C.

In order to achieve successful interviews, two interview guides (for teachers and students) were designed to cover all topics and obtain the necessary information for the categories set out. The interview guides included four sections organised in a certain order with the purpose of promoting the smooth flow of the interview: an introduction, participant details, sub-questions to address the research questions, and closing questions. In the first section, categories relating to personal information such as my name, organisation and the research's aims were included. The second section asked for basic information such as name, age, and enrolled courses (for the students) and years of experience (for the teachers). The third section comprised various sub-sections, each of which included a collection of questions addressing a specific area of the research question.

#### ***3.4.3.4. Piloting the interview***

The set of interview items and an interview guide were piloted in order to test the appropriateness of the interview structure and questions prior to the fieldwork interviews. Besides revision with my research supervisors in order to fine-tune the interview guide, after a complete draft was produced I carried out a mock interview with a colleague within the same institution, Angelina. We role-played so that I could gain an understanding from both perspectives. The interview lasted for 1 hour 15 minutes and was recorded for reflection and revision. After the pilot interview, feedback regarding each stage and question was given in a reverse debriefing session. This resulted in several reflective points. Firstly, it was established that the introduction should be more conversational to reduce the formality and address the participants' nervousness. A few questions also needed revision since they were fairly general and unclear, thus confusing the participant. On the personal reflection level, listening to the participants and at the same preparing the next question was challenging. All feedback was taken into consideration prior to the beginning of the fieldwork.

#### **3.4.4. Data triangulation**

The idea was to use three instruments – recording classroom talk, interviews and observation – to form a ‘methodological triangulation’, thus helping me to be more confident of the results (Yeasmin and Rahman, 2012). Specifically, “[t]riangulation is a process of verification that increases validity by incorporating several viewpoints and methods” (Yeasmin and Rahman, 2012: 156). The combination of different research methods provides hope for researchers to “overcome the weakness or intrinsic biases and the problems that come from single-method, single observer, single-theory studies” (Yeasmin and Rahman, 2012: 157). Hence, the usage of different methods will enable the results to be confirmed by drawing a conclusion from the different findings.

#### **3.5. Ethical considerations**

Ethical issues pertain to the participants who directly determine this research's results. Briefly, when carrying out research and collecting data, it is necessary for researchers to pay attention to their participants' autonomy and privacy. Consequently, I acknowledged the fact that not every participant would be comfortable expressing their initial feelings and attitudes; if poorly managed, this issue could be problematic and may even undermine the reliability of the collected data. While carrying out this study, the matter of ethics was carefully treated as one of the essential initial prerequisites of the study. Prior to recording classroom conversations, permission from the teachers and all the students was obtained to ensure that they were comfortable with the audio recording. I also ensured that the aim and purpose of the research were clearly explained to the participants. The aim was to establish a shared understanding and to narrow down the scope of the research for the participants (Kent, 2000). I contacted all the participants mainly through direct telephone conversations. Due to the time limitation, a timetable of the visit was also made clear to the participants with the purpose of maximising the opportunity for collecting data; the timetable was approved by the directors of both language centres.

In addition to providing information verbally, an ethical form, approved by the University of Warwick Graduate Progress Committee, was also sent to the participants in order to establish a mutual understanding between me and the participants. The consent form addresses the possibility that the participants might

feel overwhelmed due to not remembering all the information about the research (Kent, 2000); it also benefits me in terms of a higher level of commitment to the study (Kent, 2000). The consent form used in this study comprised several important sections such as the aim of the study, a description, and participants' confidentiality. Since the study includes the participants' involvement from many perspectives, including classroom recording, observation and interviews, the consent form was designed to cover each aspect of the data collection process. The consent form was also checked and approved by my supervisor before being handed to the participants to sign. A copy of the consent form was also sent to the heads of both language centres to keep on record. Details of the consent form can be found in Appendix D. In addition, in order to carry out the data collection procedure without intruding on the participants' time and privacy, their schedules were always carefully checked to ensure that the interviews did not cause any difficulty in terms of time and cost. During the data analysis, pseudonyms were used for all the participants and the schools to protect their identity (an example of classroom data transcript can be found in Appendix H).

### **3.6. Data collection procedure**

The data collecting procedure started with the **first phase** interviews with the teachers and students. These interviews were carried out before collecting the audio recordings and classroom observation. Teacher interviews took place in the language centres' staff rooms. In order to obtain a consensus on the time and place, these interviews were arranged between the teachers and me via telephone calls. Beforehand, the teachers were briefed about the purpose of the interview and notified that the entirety of the interview would be recorded for later analysis. Each interview started with small talk in order to create a relaxed environment for the participant and lasted for approximately 20 to 30 minutes.

With regard to collecting audio data and classroom notes, I arrived at classes 20 minutes earlier than the starting time to get the consent form signed, set the recording devices and choose a seating position. Three Sony IC recorders and my mobile phone were used to record audio data. In addition to recording devices, my personal MacBook was used to jot down noteworthy observational notes from the lessons. All devices were tested carefully to ensure they were working, fully

charged, and set to the highest quality (for the audio recorders). As a summary, Table 3.2 illustrates all data obtained from the fieldwork.

Table 3.2. Summary of collected data

Name	Classroom recordings		Classroom observation (including notes)	Interviews		Interviews (Students)
				General perception about their identities	Transcript-related interviews	
Jack	<b>Class 1</b> (2 <sup>nd</sup> shift) on Tue, Thurs, Sun	2	8	1	1	5
	<b>Class 2</b> (2 <sup>nd</sup> shift) on Mon, Wed, Fri	3				
	<b>Class 3</b> (last shift) Tue, Thurs, Sun	3				
Jane	<b>Class 1</b> (2 <sup>nd</sup> shift) on Tue, Thursday, Sunday	8	8	1	1	5
Joy	<b>Class 1</b> (2 <sup>nd</sup> shift) on Tue, Thurs, Sun	1	8	1	1	8
	<b>Class 2</b> (2 <sup>nd</sup> shift) on Tue, Thurs, Sun)	7				
Hope	<b>Class 1</b> (2 <sup>nd</sup> shift) on Mon, Wed, Fri	10	10	1	1	5
Claire	<b>Class 1</b> (2 <sup>nd</sup> shift) on Mon, Wed, Fri	7	7	1	1	5

Given the choice of role stated in section 3.4.2, as I acted as a participant-observer in most of the classrooms. This appeared to be advantageous since it enabled the establishment of trust with the students for later interviews. In every first classroom observation, the teachers also helped to ‘break the ice’ by giving me five minutes to briefly introduce myself and explain the purpose of the study (in English). Interestingly, these introductions had a positive effect since the students seemed to be supportive and curious, asking more short questions about my experience of studying abroad and life in the UK; I managed to answer these questions briefly in

order to not affect the lesson plan. During the discussion, although it was impossible to observe every movement in the classroom, I attempted to strike a balance between taking part in group discussion and observing other aspects of classroom interaction in general. The notes and audio recordings of each classroom observation were tagged with the date and the duration of the lesson. These classroom observation notes were used later to support the data analysis and discussion parts of the study.

The selection of students for the interview was made based on the suggestion of the teacher in charge of each class. According to the teachers, the best option would be if they personally asked students with good English communication skills to join the interview. However, in order to maintain the ethics and the rights of my research participants, I decided to invite students who were willing to become involved. To help the student participants feel sufficiently relaxed to fully express their opinions, during the invitation it was stressed that they were not obligated to use English in the interviews. Differing from the teachers' interviews, most of the students wanted the interviews to take place in quiet coffee shops; these interviews lasted approximately 15 to 20 minutes. Moreover, many students disclosed that although they really wanted to express their opinions in English, they lacked confidence and English responses may have been time-consuming. Thus, most of the students' interview data is in Vietnamese.

In the second phase of interviewing the teachers, it was intended initially to further explore the meaning of interesting instances and discourse patterns found from the transcripts (obtained from first phase interviews and classroom audio data). However, due to the fact that transcribing data is time-consuming, in order to carry out second phase interviews with the teachers, I decided to use observational memos and notes from listening again to the audios in order to form questions for the second phase. Each second phase interview lasted for 30 minutes and the teacher was asked to explain significant classroom phenomena and clarify unclear meanings in the classroom interaction. The teachers' email addresses were acquired at the end of the interviews for future contact. I assured that once the transcripts are finished, I would contact to share the classroom transcripts and discuss with the participant in case there were any questions relating to the data.

### **3.7. Data processing and the emergence of three key strategies**

This section details the systematic data processing procedure and how findings have been generated. In order to manage transcripts and understand the data, during the transcription process, I decided to focus on one teacher at a time. Jack was one of the first teachers from whom I obtained data during the first week of my fieldwork; hence, it was decided that an understanding of Jack's data could potentially be a good guideline for investigation of other participants' data.

The research does not claim to be CA as such, but it does rely on CA conventions in order to produce transcripts through which close attention to interaction features was managed. For example, it enabled analysis of the distribution of talking time, teachers' use of pronouns and aspects of question construction. In more general terms, it allowed me to isolate features the development of teacher-student discussion. Using CA transcript convention (appendix B, p. 254) Jack's classroom interactional data was transcribed and presented in table form. The transcript of five lessons (each 90 minutes) amounted to 104 pages in total and was read through several times in order to detect Jack's strategies and linguistic choices to ascertain his identities. Examples from Jack's transcripts have been extracted and grouped under different strategies that the teacher uses to negotiate and construct identities. These initial strategies have then been compared and scanned through the audio recordings for the other teachers. While similar examples from other teachers' data have been added to same category, in the case of new strategies emerging from the data a new category has been established.

During this process, as the analyst, I kept thinking about three main questions in order to detect the strategies the participants deployed. These three questions were:

1. What kinds of verbal acts the interlocutors are aiming to perform? (for example: giving instruction, evaluating and so forth)
2. How such verbal acts are performed? (how instructional questions are formed? Or how feedback is delivered?)
3. By performing this kind of verbal act in particular ways, what social identities the participants are attempting to construct?

By answering the first question, I was able to identify classroom activities and the structure of the participants' lessons. It was noted that there was similarity in



selecting and implementing classroom tasks across these five teachers, albeit the order of these tasks varies from lesson to lesson. For instance, giving instruction before tasks was found to be one of the common classroom steps. Additionally, all the five teachers also provided feedback regularly or carried out extended turn to elicit or prompt longer answers from the students. Despite their occurrence in these participants' lessons, these similar classroom activities were not executed comparably when question number 2 and 3 were added to the coding. By answering question 2, many discursive aspects of classroom discourse were taken into consideration. For example, the distribution of talking time between teachers and students during feedback or task evaluation, teachers' use of pronouns and constructing questions, how interruption occurred and how teacher-student discussion was developed.

During this process, it came to my attention that many of these classroom activities involved the use of both L1 and TL. The use of L1 in L2 classroom in some lessons took a very high percentage which encouraged me to take a closer examination of this discourse feature. While examining the episodes of classroom acts which involved both L1 and L2, it was noted that the switching between code choices of these participants were more complicated and even went beyond the transactional, pedagogical functions of L1 established in previous research about code-switching. More interestingly, when question 3 was concerned, many code-switching instances were found to help the teachers to position and construct themselves in certain ways. Noticing the potential relevance of CS to the construction of the participants' identities, CS was selected as the first discursive discourse strategy for the thesis. Similar procedure was applied to the identification of the second and third key discursive strategies and processes, namely humour and face negotiation. Specifically, humour was first noticed through frequent occurrence of laughter and changes in the tone of voice in the classroom discourse and observational notes of all these five participants. Closer examination of humour instances revealed identity-related functions that humorous episodes occurred in the classroom, such as teacher using teasing humour to get things done. Also, facework was realised as the third strategy through examining how humour was used in the data set. For example, teachers used teasing humour to assign negative face to the students or to re-establish their own face after it was threatened.

After the selection of these three prominent discourse strategies emerged from the data processing and analysing, three sections were added in the literature review of the thesis in order to obtain a throughout understanding of these strategies established in previous studies.

This chapter has discussed various areas of methodology in order to carry out the investigation of Vietnamese teachers' identities. The next chapter is the first analysis chapter, presenting the relationship between the negotiation of teachers' identity construction and one of the first strategies, CS.

## **Chapter IV – Code-switching and the multifaceted nature of teacher identity construction**

This chapter aims to address the first research question regarding how Vietnamese teachers construct their identities. The findings from analysing these teachers' classroom interactions show that their identities are constructed through various means and discursive practices, such as the choice of code, humour, stereotyping, sequence management and the negotiation of face. However, in this chapter, the teachers' identity construction is explored with particular regard to one of the most frequent strategies deployed in the classroom interaction: code-switching (CS). Scanning through the classroom transcripts of the five Vietnamese teachers in my research, it is noted that switching from English to Vietnamese in English classrooms appears very frequently with various durations. This is a significant feature of their classroom discourse that requires investigation since CS behaviours are not only a pervasive linguistic feature occurring in language classrooms but can also be considered as an identity-related phenomenon (Auer, 2005; Jaffe, 2007). Hence, this chapter investigates how particular social roles and identities of Vietnamese teachers are enacted and negotiated through examining the correlation between their CS behaviours and the stances these behaviours evoke.

Since being a teacher is a specific profession, which carries various normative expectations, it is anticipated that these normative qualities, for example being resourceful and highly conscientious, can be found easily within the data. However, analytical findings have shown that, alongside the expected teachers' identities associated with functional and transactional CS in the classroom discourse, a variety of other identities are constructed through the teachers' choice of code. Specifically, the CS behaviours do not merely involve carrying out the pedagogical functions of the lessons, which index a professional stance and in return position these teachers as effective teachers; interestingly, these linguistic behaviours also allow the teachers to invoke a wider range of stances, highlighting the complex and multifaceted layers of their identities. Taking Jack's case as an example, switching to Vietnamese enables Jack to engage in intercultural and sociocultural knowledge, which evokes a distancing and critical stance and constructs Jack's identities as a reflective bilingual teacher. The analysis detailing this professional stance will be provided in section 4.2.1.

In order to rigorously discuss the mapping of language choice and the enactment of identities, this chapter couples the stance-based CS model with a sociocultural linguistics approach to analyse the data. It is worth reasserting the two-step process to identify CS instances and examine its inference to identity construction. These two steps are:

1. Detecting and coding the speakers' tendency to code-switch in order to perform certain acts (coding details are presented in Appendix A)
2. How do speakers utilise CS patterns to negotiate their various identities (i.e. which stance do they index through CS patterns)?

What follows is the analysis of extracts from the five participants' classroom interactions to address and illustrate some of the processes through which various stances are evoked to negotiate the teachers' relevant identities when teachers engage in CS in the classroom interaction.

#### **4.1. Code-switching and the multifaceted nature of teachers' identities**

This section focuses on detailing the construction of Vietnamese teachers' multifaceted identities with regard to their CS behaviours. It is argued that the teachers' occasional switch to L1 to perform educational and pedagogical practices, for example providing translation, checking comprehension, etc., indexes a professional stance which constructs their identities as effective and professional teachers. Alongside these pedagogical functions, their choice of code also creates opportunities for the teachers to utilise different ranges of knowledge, information, and jokes during the lesson, which indexes various stances and establishes other positions and identities. The detailed analysis of these various identities is divided into two areas; in the first, several extracts are presented to look at examples that clearly index teachers' professional identities, whilst the second section looks further at examples of unexpected behaviours that may index other kinds of identities.

##### **4.1.1. Code-switching and the construction of effective and professional teachers**

One of the initial observations is that the teachers' CS behaviours serve a variety of educational and pedagogical purposes, thus indexing a professional stance and in turn establishing expected classroom routines and portraying these teachers as effective and proficient. The CS patterns include various levels and durations. The short episodes of switching to Vietnamese words, phrases and sentences are

frequently found to perform pedagogical discursive practices, including (1) providing translation for difficult or illustrative language (word/phrase/sentence level), (2) giving an evaluation, and (3) providing explanations for difficult language points, including vocabulary and grammar. The following six extracts illustrate these functions of CS in these teachers' classroom discourse. For easier detection and observation, in the translation, the Vietnamese translations are presented in bold and italic font, while the normal typeface represents English.

*Extract 4.1. Translation of a word and phrase (Jack's lesson: "Your dreams")*

- |     |      |   |
|-----|------|---|
| 710 | Jack | have to work on numbers more right? Or (xxx) more logical tư duy                      |
| 711 |      | hơn (.) analyse they have to think they have to calculate tính toán                   |
| 712 |      | right ok  |
|     |      |   |
| 710 |      | have to work on number more right? Or (xxx) more logical <b>more</b>                  |
| 711 |      | <b>logical</b> (.) analyse they have to think they have to calculate <b>calculate</b> |
| 712 |      | right ok  |

Extract 4.1 shows how Jack quickly carries out CS to provide a translation of the words 'logical' and 'calculate' within his turn in order to create better understanding for the students. Similarly, extract 4.2 demonstrates Jane's switch on a sentence level in order to ascertain that students have a thorough understanding of the given information.

*Extract 4.2. Translation of a sentence (Jane's lesson: "Express your emotions")*

- |   |      |  |
|---|------|--|
| 1 | Jane | You have just discovered the cure for cancer (2.0) and only know the |
| 2 |      | formula for that medicine (1.0) em là người vừa mới phát minh khám   |
| 3 |      | phá ra phương pháp chữa trị bệnh ung thư                             |
|   |      |  |
| 1 |      | You have just discovered the cure for cancer (2.0) and only know the |
| 2 |      | formula for that medicine (1.0) <b>you are the one that has just</b> |
| 3 |      | <b>discovered the cure for cancer.</b>                               |

An example of switching to L1 to carry out an evaluative move is illustrated in extract 4.3 of Joy's classroom interaction. Immediately after the student's answer, Joy switches to L1 to provide her valuation before switching back to L2 to provide the correct answer.

*Extract 4.3. Giving feedback to the students (Joy's lesson: "Movies & films")*

- 1 Ss I like watching TV- watch TV free time  
 2 Joy À cũng đúng nhưng mà- phát âm thì đúng nhưng mà câu thì chưa  
 3 chính xác I like watching TV
- 1 I like watching TV- watch TV free time  
 2 **Ah also correct but- correct pronunciation but the sentence structure**  
 3 **is not** I like watching TV

Another important function of switching to L1 is to provide explanations and clarifications for difficult word usage (extract 4.4), pronunciation rules (extract 4.5) and grammar rules (extract 4.6).

*Extract 4.4. Explaining word usage (Hope's lesson: "Direction in life")*

- 1 Hope This is no economics actually it is economics cái từ cái từ economy  
 2 'economics' này nó hơi lỏng ngoẵng 1 chút trọng âm nó hơi lỏng  
 3 ngoẵng 1 chút nếu chúng ta muốn nói đến nền kinh tế thì chúng ta nói  
 4 /ɪ'kɒnəmi/ chúng ta muốn nói đến ngành học của chúng ta thì chúng ta  
 5 sẽ đọc là /ɛkə'nɒmiks/ hoặc là viết tắt chúng ta đọc là 'Econ' cũng  
 được
- 1 This is no economics actually it is economic **the word the word**  
 2 economy 'economic' **its word stress is a bit complicated if we want to**  
 3 **mention a country's economy then we can use /ɪ'kɒnəmi/ we want to**  
 4 **mention as one of our majors we will pronounce as /ɛkə'nɒmiks/ or**  
 5 **the shortened form can be 'Econ' also acceptable**

In extract 4.4, Hope chooses L1 to explain the different usage between the words 'economy' and 'economics' to the students. By switching to L1, Hope can quickly highlight the context in which to use 'economy' and how it differs from the use of 'economics'. A switch to L1 focusing on explanation of particular sounds in English in the case of pronunciation is also demonstrated in extract 4.5.

*Extract 4.5. Explaining pronunciation rule (Jack's lesson: "How to learn English effectively")*

- 253 Jack /ɔ:'dʒʌn/ sau này học âm tion /ʃ(ə)n/ từ âm /ʃ/ ra thì tất cả các âm  
 254 /ʃ(ə)n/ khác phải phát âm được (.) và bạn nhìn ngay là biết trọng âm  
 255 rơi đâu? Tôi đồ các bạn biết đấy (1.0) Rơi đây (.) tại sao? Ngày xưa  
 256 các bạn chỉ nghĩ rằng là à đây trước /ʃ(ə)n/ thì trọng âm rơi trước

257 /ʃ(ə)n/. Cứ trước /ʃ/ s đó s nặng thì trọng âm rơi trước nó.

253 /ɔ:'diʃ(ə)n/ **later when you study phonetics** /ʃ(ə)n/ **from the sound** /ʃ/

254 **all other** /ʃ(ə)n/ **sounds you have to pronounce it well (.) and look at**

255 **it you need to know immediately which syllable is stressed? I**

256 **challenge you (1.0) fall on here (.) why? Before you think that this**

257 **is** /ʃ(ə)n/ **then the word stress will fall before the syllable. In all**

258 **cases before /ʃ/ it is s, heavy s then the stress will be before it.**

Finally, in order to help the student struggling with making a Wh-question sentence, in extract 4.6 Claire switches to L1 to prompt the students by addressing and solving their task.

*Extract 4.6. Explaining grammar rule (Claire's lesson: 'Learning English')*

1 Claire The (xxx) 1988

2 3.0

3 Claire Anyone can ask me the question (1.0) anyone can (1.5) start with

4 'when' Chúng ta thấy đây là cái dữ kiện gì ạ? (0.5) ngày tháng đúng

5 không ạ? Chúng ta có câu để hỏi sẽ là gì ạ 'khi nào' thì là dùng

6 'When' (1.0) OK good when were you born?

3 Anyone can ask me the question (1.0) anyone can (1.5) start with

4 'when' **We can see this information is? (0.5) date and time right? We**

5 **can make question with what 'khi nào' is to use** 'When'(1.0) OK

6 good when were you born?

The six extracts above display specific instances of the educational and pedagogical functions of five teachers' CS behaviours over several lessons. Drawing from these examples and interview data, it is clear that CS occurs very frequently in the classroom discourse and perhaps is considered a useful linguistic strategy for the teachers to perform their lessons effectively (Sert, 2005; Meyer, 2008). These CS behaviours are common in these classroom discourses due to a consistent level of concern regarding the student's linguistic difficulties. It is also argued that CS patterns in certain areas of the lesson are the result of reflection and choice, which is elaborated in the individual interviews, such as Jack's opinions in the following interview extract:

*Interview extract 4.1. Jack's second-phase interview:*

...so for elementary learners I use 50% of English and 50% of Vietnamese. But for some classes with better speakers, I use 70% of English...And for the last level I use about 90 to 95% of English in my

class. Just in some special cases where my students couldn't understand some technical terms or when I speak very fast, because I have habit of speaking English fast so sometimes they couldn't catch up, then I try to speak again or speaking a bit of Vietnamese to them.

It seems to be the case for Jack that the proportion of Vietnamese and English used in the classroom are changed according to the students' level (i.e. elementary or more advanced learners). Jack also mentions the role of L1 (Vietnamese) in explaining technical terms or comprehension checking such as what we have observed from the examples of classroom interactional data. Sharing a similar approach with Jack in terms of the use of Vietnamese and English in the classroom, Hope, in interview extract 4.2, provides a little more insight into which situations code switching to Vietnamese is indeed necessary, such as explaining things or teaching idioms.

*Interview extract 4.2. Hope's second-phase interview:*

Even though I advised them to use the Cambridge dictionary for reference and we make the most out of images and flash cards in learning vocabulary, there are times when I need to use Vietnamese to translate or explain things. Due to the cultural difference, students find it hard to comprehend the message only in English. A typical example would be teaching idioms. We discuss the meaning and try to figure similar or parallel Vietnamese idioms. I think the proportion of using mother tongue in the classroom is up to 40% for low level and down to 20% for upper level. With more advanced students, they tend to use less Vietnamese and therefore, they think in English more often and automatically.

By claiming that the CS behaviour is a result of the teachers' reflection and choice, it is important to note that I do not mean that the teachers are fully aware of every single switch they make during the lessons. Since it is not the focus of this research, the impacts and reasons for these CS instances on the learning outcome are not analysed. However, due to the functional purposes of these CS instances that concern the students' linguistic difficulties, these CS behaviours tend to evoke a professional stance which establishes expected classroom routines and constructs effective and proficient teacher identities of these participants. These expected and pedagogical-oriented CS behaviours also receive more attention in Second Language Acquisition (SLA) (as established in the literature about using L1 in facilitating L2



learning, section 2.6.1.2.2, pp. 48-50) than the identity-related CS in the following section.

#### 4.1.2 Code-switching and the construction of other identities

If the CS behaviours in the first six extracts primarily serve the pedagogical and transactional purposes of the lesson, which index a professional stance and portray the expected identities of the teacher, this section reveals other unexpected identities. In addition to the pedagogical and transactional purposes of the teachers' CS, the data suggest that other identities are evoked through their switch to L1 to perform joking or teasing acts. Extracts 4.7, 4.8 and 4.9 are taken from classroom interactional data of Hope, Claire and Jane.

*Extract 4.7. "Talking with Fred" (Hope's lesson)*

*(T: Teacher; B: Bay; Ss: other students)*

- |   |    |  |
|---|----|--|
| 1 | T  | Can I see your reading writing Ok Bay what's wrong?  |
| 2 | B  | Em làm rồi nhưng mà em để ở nhà anh King mất rồi<br><b><i>I have done it but I have left it at King's house</i></b>  |
| 3 | T  | Ồi ôi em lại để nhà King à (.) em làm gì ở nhà King mà để quên ở đây?<br>((Teasing tone))<br><b><i>Oh oh you have left it in King's house (.) what did you do in King's house that made you forget your homework there?</i></b> ((Teasing tone)) |
| 4 | Ss | Ha ha ha   |
| 5 | T  | So can you call him can you call him so he can um he can bring your  |
| 6 |    | homework is he coming?   |

Extract 4.7 is the quintessence of how a stance can be evoked and identities are constructed on a small scale, in this case on the turn level. This extract takes place at the beginning of Hope's lesson when homework-checking activities are normally carried out. The CS occurs in line 2 after the teacher announces that homework will be checked, paying particular attention to Bay. From the extract, it is noticeable that Bay code-switches to provide an explanation for her missing homework. Although she has done her homework, she claims that she has left it at King's house, a male student in the class. Bay's explanation is followed by the teacher's teasing-toned question in line 3. The fact that Bay cannot present her homework in class is not what draws the teacher's code-switched response in line 2; it is the fact that a female and a male student have visited each other for cooperation that interests the teacher. In line 3, the turn is divided into two parts. Whilst the first part conveys the teacher's

surprise at Bay leaving her homework in King's house, the second part is a question that jokingly addresses the activities of Bay and King.

This example neatly demonstrates the 'positionality principle' (Bucholtz and Hall, 2005), suggesting that different kinds of identities can occur simultaneously during one interaction. The contingency of the classroom interaction enables us to observe how Hope contemporarily occupies a new interactional role as a playful joke-maker alongside her teaching role. It is the student's turn in line 2 that triggers an opportunity for Hope to negotiate and construct this local dimension of her identities. This new identity is enacted and taken in relation to the norms in Vietnamese society that two unmarried people of different gender have to maintain a distance otherwise their behaviour may be regarded as inappropriate. When Bay mentions that she had been to King's house to study and left her homework there, Hope reacts to this information by switching the code and negotiating her role. Expressing her idea in a jokey tone, Hope's turn indexes an affective stance of jokiness, which helps create an image of Hope as a funny and playful person. The subsequent effect of this turn is seen through the whole class's laughter (including Bay) in line 4. Following this, the code is switched back to English in order to solve the issue at hand (Bay forgot her homework). It is evident that this sort of CS is not used to serve the functional and transactional purposes of the lesson as demonstrated in section 4.2.1, rather it is considered as an identity-related building block of Hope's identity construction. By indexing the funny and jokey stance, it seems that Hope also appears as someone who breaks down traditional expectations in being able to bring innuendo and joking into play. The funny and friendly identities are also evident in Claire's lesson:

*Extract 4.8. "Learning English" (Claire's lesson)*

*(T: Teacher; D: Dream; Ss: other students)*

- |   |    |   |
|---|----|---|
| 1 | T  | Next information now (.) you knew?  |
| 2 | D  | How old are you?  |
| 3 | T  | How old are you? I'm 27 years old should be 28 years old according to ah  |
| 4 |    | Lunar calendar đúng ra tôi 28 tôi tính theo lịch tây cho nó trẻ<br>How old are you? I'm 27 years old should be 28 years old according to ah<br>Lunar calendar <b><i>I should be 28 but I see my age according to the Western calendar so I can be younger</i></b> |
| 5 | Ss | Hihi ((whole class laughs))   |
| 6 | T  | How old are you?  |

This extract takes place during the first introductory lesson between Claire and her class. Instead of giving a speech to introduce herself, Claire writes clues about her personal information on the board and lets the students ask questions to get to know her. This extract takes place when the students ask about Claire's date of birth. In line 3, after telling the students her age, Claire switches to L1 and gives further comments on her age. In the Vietnamese context, it is not especially common for the teacher to give personal information to the students (T. T. Q. Nguyen, 2015). However, it is interesting to see how Claire makes use of self-denigrating humour; not only that she is willing to tell the students her actual age, at the same she shares her desire to be seen as a young teacher with the students. This example shows the authentication process (Bucholtz and Hall, 2005) by which Claire puts forward the claim about the realness of her identities. At first, she states that she is 27 years old, yet quickly she extends the turn to provide her actual age. What is interesting about the teacher's claim here is not only that she shares her age with the students, which might be considered as inappropriate in a wider context; it is also the fact that she refers explicitly to the term 'lunar calendar' which demonstrates an insider's knowledge (understanding of the different age system in Vietnam), thereby constructing herself as a member of the inside group (positionality principle) (Bucholtz and Hall, 2005). Within this shared understanding of the age system in Vietnam, Claire's use of self-denigrating humour in the process of authenticating her real age indexes more local dimensions of her identity. The switch to L1 and the use of humour during Claire's turn (line 4) indexes an affective stance of openness and directness, which positions Claire as an approachable and honest teacher. The use of humour within code-switched turns is also found in Jane's data in extract 4.9:

*Extract 4.9: "Express your emotions" (Jane's lesson)*

*(T: Teacher; R: Ruth; Ss: other students)*

- |   |    |  |
|---|----|--|
| 1 | T  | cho vào cái tính huống nào mà nó bật ra được mấy cái cảm xúc này này   |
| 2 |    | (1.0) khi Will nắm tay Sean thì Sean cảm thấy rất sợ hãi còn Will thì  |
| 3 |    | ((joking tone))<br><b>Create situation which these emotions can easily be used (1.0) when Will holds Sean's hand then Sean feels so scared and Will is</b> ((joking tone)) |
| 4 | R  | Haha Will thì cảm thấy rất là ngạc nhiên "tại sao cô ấy lại sợ hãi?"<br>Haha <b>Will feels very surprised "why is she scared?"</b>   |
| 5 | T  | Cô ấy ((giggling tone))<br><b>She</b> ((giggling tone))  |
| 6 | Ss | hahaha đôi giới tính   |

hahaha *gender transition*

This extract is taken during the students' brainstorming time in Jane's lesson. During this time, the students have to work in groups to create a story and this needs to engage as many adjectives of emotions introduced in the lesson as possible. Jane assigns the task and observes the class in order to offer help if required. The extract takes place when Jane switches to L1 to suggest a storyline for the task. It is interesting to see Jane's suggestion centring on a relationship between the only two male students in the classroom; the teacher jokingly makes up an imaginary love story (fantasy scenarios, Norrick (1993); Chiaro (1992) between these two students (Will and Sean) and even chooses the word "scared" to dramatize and bring in feminist characteristics for Sean in the story (line 2). It is noted that these two male students are not a couple; however, the teacher and their classmates often bring up this imaginary relationship to tease them. The teacher's idea is instantly taken up and developed by Ruth in line 4 with quotative markers and the word "she" used to refer to Sean. In line 5, we can again see that the teacher supports this by repeating Sean's gender in the story, using "she" with a giggling tone. It is noticeable that by using Vietnamese to convey her idea, the teacher has successfully brought off the joke and indexes a playful and funny stance, which positions her as someone humorous and like a friend to the students.

This example nicely displays the adequation and distinction identity relation in the 'relationality principle' (Bucholtz and Hall, 2005), where the teacher positions herself as an in-group member with the female students while simultaneously making Will and Sean the butt of the tease. The fact that Jane plays along with Ruth's turn (line 4) to create conjoint humour in (line 5) shows how she positions herself as similar to the female students. The use of CS and humour in this example hence indexes an affective stance of supportiveness and shifts Jane's role as a funny teacher who suggests playful storylines to someone who belongs to the female student group (positionality principle).

The playful, friendly and humorous identities of these teachers are perhaps not completely in line with the typical master of knowledge and moral guide roles assigned to teachers in Vietnamese society. The identity constructions in extracts 4.7, 4.8 and 4.9 have been analysed in terms of their short duration as they only

contain a few turns. This means that through code choice and humour, the teachers' various identities can be negotiated and constructed very quickly. The next few extracts examine the teachers' identities in relation to longer sequences and demonstrate how the teachers' identities shift during the unfolding classroom conversation. The first extract is taken from Hope's class when Hope assigns a new task to the students. The task requirement is that each student will work alone and write three complaints on a piece of paper. The extract captures the way Hope encourages the students to be open and to actively engage in the task.

*Extract 4.10. "Direction in life" (Hope's lesson)*

*(T: Teacher; M: Max; J: Jude; Ss: other students)*

- |    |    |   |
|----|----|---|
| 1  | T  | Ok now I want you write down three problems or three complaints you   |
| 2  |    | have at work (1.0) hôm nay là ngày chúng ta làm sao ạ (.) release stress  |
| 3  |    | xả xì trét đi ạ nói xấu boss đi nói xấu đồng nghiệp đề các kiểu các kiểu chúng ta ((smiley tone))   |
|    |    | Ok now I want you write down three problems or three complaints you have at work (1.0) <b>today is the day we what (.) release stress let's release stress talk bad about boss about colleagues all types of gossiping</b> ((smiley tone))  |
| 4  | M  | Thế chưa đi làm thì nói thế nào ạ?  |
|    |    | <b>What if unemployed how to say?</b>   |
| 5  | Ss | Hihi ((students giggle))  |
| 6  | T  | Nói xấu thầy cô   |
|    |    | <b>Talk bad about teachers</b>  |
| 7  | Ss | Hahahaha  |
| 8  | T  | Nói nhiều cô giáo nói nhiều (.) nói xấu bạn bè nói xấu đi ở thời gian để chúng ta gossip gossip gossip so I would like you to write down in secret of what in secret three problems or more if you have more or complaints you have at work (0.5) stress bla bla bla ok and then you go to mix it together (0.5) c'mon      |
|    |    | <b>Talkative talkative teacher (.) let's talk bad about friend it's time for us to gossip gossip gossip so I would like you to write down in secret of what in secret three problems or more if you have more or complaints you have at work (0.5) stress bla bla bla ok and then you go to mix it together (0.5) c'mon</b> |
| 12 | T  | I give you the chance to complain and now you say you don't want to complain thế chúng ta khen đi ạ (.) you compliment if you don't have anything to complain then say something good about it say something good   |
| 13 |    | I give you the chance to complain and now you say you don't want to complain <b>so let's praise and give compliments</b> (.) you compliment if you don't have anything to complain then say something good about it say something good  |
| 14 |    |   |
| 15 | T  | Em không có gì complain thầy cô giáo ở trường à? (2.0) Give many-too much homework  |
|    |    | <b>You don't have any complaints about teachers at school? (2.0) Give</b>   |

- many-too much homework
- 16 T đó bạn Eve này giờ bạn ấy ngồi viết được cả 1 cái số rồi kia kia  
*See take Eve as an example right there she has been writing a long petition to God*
- 17 J Hihi ((Jude chuckles))
- 18 T ức bạn ấy ức chế bao nhiêu ngày luôn hihi  
*The frustration of so many days*
- 19 Ss Hihi ((some students chuckles))
- 20 T She has been holding it in for too long
- 21 T Holding in she has been holding in for too long and today she releases
- 22 the stress (1.0) ok at least three or five yeah if you finish give me so we can mix it
- 23 T Xả hết đi ạ ức chế bao nhiêu ngày chúng ta xả hết đi ạ  
*Release it all out the stress of so many days*
- 24 T This box will eat up all of your bad thoughts eat up all of your thoughts
- 25 viết a số (2.0) bible đây ạ we're going to write a book of complaint  
This box will eat up all of your bad thoughts eat up all of your thoughts  
*write a petition to God* (2.0) bible *right* we're going to write a book of complaints
- 26 T Jude là người rất lương thiện, trong sáng cao cả bạn chả có gì
- 27 complaint về cuộc đời cả (.) bạn sống rất là lạc quan yêu đời ok  
((joking tone))  
*Jude is such an innocent person, pure and noble he doesn't have any complaint about life (.) he lives with such an optimistic and rose-coloured point of view* ok ((joking tone))

In the beginning of the extract Hope initiates the sequence by directing the students to note down their complaints at work, thereby establishing her position as the one in charge and as the teacher of the class. Line 2 marks the first occurrence of CS, which denotes a shift in identity construction: from teacher (expected behaviour) towards other (less expected) identities. Particularly, alongside the fact that this turn is expressed in L1 the use of the inclusive pronoun 'we' refers to an in-group position, which helps to establish intimacy between the teacher and the students. Again, we can observe how Hope positions herself as being one of the students through the use of the pronoun "we", as in the adequation and distinction relation in Bucholtz and Hall's relationality principle (2005). Within this intimate environment, Hope encourages the students to release the stress by gossiping about their colleagues and bosses, which is interesting to observe. The position of being similar to the students is constantly strengthened and implicitly made relevant when Hope uses the 'let's' structure to indicate the shared goal (gossiping about others). At the same time, by aligning with the student, the identities of an eccentric teacher become relevant in the discourse and demonstrate the relationality principle. It is unconventional for

Vietnamese teachers to encourage students to develop behaviours such as gossiping or talking behind one's back (T. T. Q. Nguyen, 2015); going against the conventional style, CS in this case not only creates an intimacy but also indexes an affective stance of daring and playfulness, which positions Hope as someone who is funny, outspoken and unconventional. Moreover, with the smiling tone in this turn, it can be interpreted that Hope is actually aware that what she is doing here is exaggerating her understanding of workplace relationships and frustrations to help the students feel at ease when sharing their complaints. The identity of an eccentric teacher is similarly seen in lines 6 and 8. In response to Max's challenge in line 4 which questions the suitability of the task for those who are unemployed in the class, Hope's equivocal answer in line 6 again indexes an affective stance of directness and daring which give the impression that she is an outspoken and eccentric person. Drawing on Hope's response, if the students are not employed and still studying at school, it is acceptable to be derogatory about teachers. As mentioned in the literature review, in Vietnam, teachers are normally envisioned as the masters of knowledge and are role models (Le Ha, 2008). A teacher is thus highly respected by society and considered to be the symbol of knowledge and morality. The act of gossiping about teachers and being disobedient is seen as offensive. Hence, advocating the students to gossip about the teachers is seen as something unusual. It is also interesting to note that Hope refers to 'teachers' as a general group. Although it is not clear whether she includes or excludes herself from this group, there is the possibility of losing face since encouraging the students to talk negatively about teachers might also involve Hope herself. Hope's turn in line 6 thus is also seen as a potential risk of losing face if the students choose to complain about her. Hope's unconventional position and her boldness bring humorous elements into the lesson, which can be observed by the students' laughter in line 7. The boldness and confidence is further elaborated in line 8 when Hope uses "talkative" as one of the examples for complaining about teachers. She also introduces gossiping about friends as another option. Switching to L1, Hope easily expresses and engages playful expressions, which index a jokey stance and portray her as entertaining and humorous. In lines 16 and 25, we can see a repetition of the phrase 'petition to God'. After assigning the task to the students, Hope notices that Jude is not interested in participating in the activity. In order to encourage Jude, Hope takes Eve and other students as examples by pointing out how hard Jude's friends have worked. Hope

describes their complaints as a ‘petition to God’. In Vietnam, petitions to God are normally written in Chinese characters and written in front of pagodas by people who have good calligraphy skills. People going to pagodas normally write their wishes for good health and at times ask for God’s help if they are in difficult situations. By linking the students’ complaint sheets with traditional petitions to God, Hope creates an interesting metaphor between the students’ complaints and their frustration. This link is established to humorously refer to Eve’s hard work and implicitly point out the difference between Eve and Jude. This is a good example of the positionality principle where the teacher assumes the role of an observer and assigns Jude and Eve the role of observees. CS to make use of metaphor and comparison indexes a light evaluative stance thereby positions Hope as a funny and humorous teacher but also a good observer.

In addition to the above identities, near to the end of this extract another interesting identity is established through the stance of sarcasm and mockery, demonstrating the indexicality principle (Bucholtz and Hall, 2005). When collecting the students’ complaint papers and noticing that Jude is not able to submit his work, Hope’s turn in lines 26 and 27 is produced in response to this particular behaviour. Hope chooses to address the student by his name and also overtly labels him with many qualities, including being innocent, pure, noble, optimistic and rose-coloured in L1. If this turn was produced outside the context of this classroom conversation, it could be literally interpreted as a compliment or positive appraisal. However, examining the whole sequence and how the conversation unfolds, this turn, in effect, implicitly conveys an admonition, cautioning Jude for his poor attempt to fulfil the task. Using these assigned qualities, Hope positions herself as an evaluator and distances Jude from the rest of the class (positionality principle). This use of irony thus evokes an evaluative stance of mockery and sarcasm, which constructs Hope as a playful individual who does not want to be stern with her students. The extract demonstrates that a variety of complex identities are constructed through Hope’s use of L1 in her L2 classroom.

Drawing from Hope’s classroom data, it is interesting to see how different identities are constructed and how identities can shift throughout a longer sequence of classroom discourse. This identity shift is also found in Jack’s classroom discourse. By switching between the codes, Jack can bring in other sociocultural matters which



shift his identity as a teacher to an educationist, as shown in extract 4.11. Moreover, switching to L1 also creates a position in which intercultural and bilingual identities become relevant to Jack's identity construction (extract 4.12). These aspects will be discussed in the following section.

Extract 4.11 is taken from the vocabulary introduction sequence, where one of the students raises a question regarding the difference between two new words 'blockbuster' and 'masterpiece'.

*Extract 4.11. 'Movie and film' (Jack's lesson 07/03)*

*(T: Teacher; K: Khloe; Ss: other students)*

- 298 K Cái từ master::: với lại blockbuster thì nó giống nhau à?  
*Master and blockbuster are similar?*
- 300 T Không masterpiece thì nó chỉ là cái giống như cái à (0.5) nó một cái  
*No masterpiece is like the (0.5) it is the*
- 301 tuyệt tác nó giống đây master giống almost the same you masterpiece  
*greatest piece of artwork like master almost the same you*  
*masterpiece*
- 302 bạn có thể dùng cho book hay một câu chuyện một story nữa nhưng  
*you can also use for a book or a story one story also but*
- 303 mà cái 'blockbuster' thì chỉ thường dùng cho movies thôi cái  
*'blockbuster' is normally used for movie only*
- 304 'masterpiece' kia đúng không ạ có thể trong một cái câu chuyện ví dụ  
*while the 'masterpiece' right can be used for a story for example*
- 305 Như "last leaf" chẳng hạn chiếc lá cuối cùng chiếc lá cuối cùng cũng  
*The story such as 'the last leaf', 'the last leaf' is also considered a*
- 306 được gọi là một cái um masterpiece của tác giả ↑  
*masterpiece from the author ↑*  
 (2.5)
- 307
- 308 T O. Henry (.) oh my God (0.5) Or Victor Hugo you know Victor  
 Hugo↑
- 309 Ss Yes
- 310 T Một trong ba vị thánh tông đồ của thế giới được tôn vinh, Victor  
*One of the three saints are known worldwide, Victor*
- 311 Hugo, in Vietnam (1.0) Nguyễn Bình Khiêm and (1.0) in China that  
 is
- 312 Tôn Trung Sơn ba vị thánh tông đồ của thế giới nhé chúng ta nhớ  
*Trung Son, three saints of our world right we need to remember*  
*that*
- 313 được tôn từ khi còn sống, chú ý nhé có thể đây là những thứ chúng ta  
*they are honoured when they are still alive (.) Note that these are*
- 314 nên biết thôi, không mỗi người sẽ biết mỗi lĩnh vực nhưng đây những  
*what we should know (.) no each person will know an area but*  
*these*
- 315 cái tôi cung cấp cho các bạn nên Nguyễn Bình Khiêm ghi tên mình  
*are what I provide you so Nguyễn Bình Khiêm got his name entered*
- 316 vào từ điển thế giới đó Nguyễn Bình Khiêm và Bác Hồ chủ tịch là

- the world's dictionary Nguyễn Bình Khiêm and the president Hồ are*
- 317 khá lớn không phải đùa đâu nhé là nhân vật nhân tài của thế giới và *very influential can't joke about this ok they are the world's talents*
- 318 bây giờ có bác Giáp (1.0) Trần Quốc Tuấn một trong mười lãnh đạo *and now is uncle Giáp (1.0) Trần Quốc Tuấn one of the leaders*
- 319 general đại tướng general đứng sau thành cát tư hãn thôi rất là giỏi *general general general only ranked after Genghis Khan very*
- 320 không phải đơn giản đâu thể nên chúng ta cũng nên biết để khi *talented not simple at all so we should know so later*
- 321 Việt Nam sau này như bác Nguyễn Bá Thanh chỉ có Đà Nẵng biết *Vietnam later like uncle Nguyen Ba Thanh only Đà Nẵng city*
- 322 thôi những người kia sẽ biết *knows but the others everyone knows*

In the beginning of the extract, we can notice a similar transactional CS behaviour where Jack uses L1 to provide a better understanding of the differences between ‘blockbuster’ and ‘masterpiece’ (lines 300 – 306). However, towards the end of line 305 when mentioning ‘the last leaf’ as an example of a ‘masterpiece’, he takes it further and tests the students’ knowledge about foreign literature by questioning them about the author of ‘the last leaf’. The 2.5 second gap (line 307) is perceived as the students having no answer to Jack’s question, which is subsequently followed by a provision of the missing answer and a surprised attitude resulting from the student’s ignorance (“O. Henry (.) oh my God”, line 308). It is interesting to see that there seems to be a shift in identity here from Jack as a professional teacher to someone who loves literature, which illustrates the positionality discipline. From the beginning of the extract to line 306, it seems that Jack assumes the role of the knowledge expert. However, in line 308, his reaction to the student’s ignorance (“oh my God”) seems to reveal Jack’s different identity as someone who enjoys reading literature and has his own opinions rather than someone who is responsible for teaching grammar, vocabulary and lesson-related matters to the students. The position of a literature lover is shortly abandoned and Jack’s teacher identity is revived through his question, “or Victor Hugo you know Victor Hugo”. From this observation, it is interesting to see how Jack can switch between different identities even within an utterance and for just a short moment.

It is the student’s incapability to answer such a question that leads to further discussion on the matter in the subsequent sequence from lines 310 to 322. During

this sequence, it is noted that Jack has switched completely to L1 and there is no student contribution in this sequence, marking an essential shift from the linguistic focus to the discussion of the values of literature. This sequence has been discursively constructed with regard to the student's failure to answer the question in the previous sequence. Jack's use of pronouns in lines 313, 314 and 315 interestingly shows how different levels of identity emerge in the discourse under the positionality principle (Bucholtz and Hall, 2005). In line 314, after telling the students the name of the three honoured saints (earlier lines), Jack stresses, "those are what we should know". His use of the pronoun 'we' here can be interpreted as the 'inclusive we' which not only refers to the students but also involves Jack himself. With this pronoun use, Jack implies an in-group identity with the students as the learners of knowledge. On the other hand, Jack's agency as a knowledge expert comes back into play with his use of the personal pronoun "I" as uttered in line 314, "each person will know an area but these are what I provide you". Through his use of different pronouns, Jack negotiates his position as a knowledgeable educationist but at the same time moderates the act of imposing knowledge on the students. Although Jack assumes the role of a knowledge giver and assigns the role of knowledge receiver to the students, his CS and use of pronouns positions him as a person who is aware of his role and power, yet exercises this power in a moderated manner in order not to harm his relationship with the students.

More importantly, given the context where both the teacher and the students share the same L1, it can be argued that Jack's extensive CS in this turn is designed to heighten the students' sense of belonging to the Vietnamese culture and also to strengthen rapport. Jack chooses L1 as the 'we-code' when he provides instances of Vietnam's greatest people; this is interpreted as indexing an in-group identity with the students, in this case being Vietnamese. Ethnic identities become relevant in this extract, i.e., as Vietnamese people it is important to know and appreciate the country's greatest people. Jack demonstrates his appreciation and respect for Vietnam's greatest people and achievements by saying he "can't joke about this" (line 317) and it is "not simple at all" (line 320).

Similarly, extract 4.12 shows how Jack constructs his identities as an expert of knowledge through CS to showcase his understanding of cross-cultural differences. Through this process, different identities are constructed at the same time. In other

words, in addition to constructing a teacher identity (a master of knowledge), Jack also positions himself as a competent bilingual who has a great understanding of the Western style of writing.

*Extract 4.12. “Learning English effectively” (Jack’s lesson 13/03)*

*(T: Teacher; S: Sam; E: Ella; K: Kate; Ss: other students)*

- 92 T Từ vựng (.) grammar right? Everything, grammar, ngữ pháp (.) So  
**Vocabulary** (.) grammar right? Everything, grammar, **grammar** (.) So  
 93 here one, two, three. Now one, two or three? Who think one? Raise  
 94 your hand. One. Ok who think 2? Raise your hand. What about 3?  
 95 Oh you all. Everything right? Còn lại là cả 3 cái này. Rồi các bạn nhớ  
 Oh you all. Everything right? **The remaining all choose three. Ok**  
**you remember**  
 96 là người tây á người ta rất là rõ ràng (.) khi người ta khó thì phải nói  
**that the Westerners are very clear (.) once they say it is hard, they**  
 97 khó ở đâu, vì sao nó khó (.) Chứ không thể nói là nó khó (.) Trong  
 văn  
**will state where and why it is hard (.) can’t just simply say it is hard**  
 98 hoá Phương Đông thì tư duy gì nhỉ? Khúc triết, còn văn hoá Phương  
 (.) **The southeast Asian people’s culture is towards brachylogy while**  
 99 là tư duy đường thẳng. Không cái nào xấu nhưng chúng ta học  
**that of Western is a direct line. None of these is bad but we learn**  
 100 Phương Tây. Đây là starting point, đây là điểm bắt đầu và  
**from the West. Here is the starting point, starting point** and  
 101 người tây người ta go straight from the beginning to the end. Nhưng  
**the westerners** go straight from the beginning to the end. **But we,**  
 102 người Phương Đông chúng ta thì sẽ sao ạ? Trước khi bắt đầu là phải  
**Southeast Asian people? Before starting need to have a demo**  
 103 có 1 bài Demo (.) dạo trước đã vòng vòng vòng đã về đích chưa ạ?  
**intro first (.) beat around the bush have we reached the main point?**  
 104 Ss Chưa ạ.  
 Not yet  
 105 T Vòng 1 loạt nữa như này, Khúc triết á, khúc là nó bẻ gãy ra để nó  
**A circle like this, detail description means going to every corner**  
 106 phân tích từng tí 1. Còn đâu Phương Tây là như thế này vì vậy, câu  
**and analyse. Western countries, on the other hand, are like this, so**  
 107 hỏi của ta sẽ như vậy (.) Ví dụ như là (.) “Ước mơ của bạn là gì?”  
 “Ah  
**our question is like (.) For example (.) “What is your dream?” “Ah**  
 108 ai trong đời cũng có 1 ước mơ ước mơ của ai cũng đẹp tôi cũng thế (.)  
**everyone has a dream dreams are beautiful me too (.) I also have a**  
 109 Tôi có 1 ước mơ” chúng ta mất 4 câu đưa ra cái mở bài nhưng người  
**dream” we wasted 4 sentences to make the introduction but**  
 110 Tây sẽ nói luôn “I have a dream my dream is” you know what I  
 mean?  
**Westerners will just say** “I have a dream my dream is” you know  
 what I mean?  
 111 Chúng ta đi thẳng vào vấn đề nhưng sau đó ta sẽ hỏi đó là ‘What’.

112 *We go straight into the problem, but we will answer question* ‘what’.  
 What xong mới xuống gì ạ? Why (.) why xuống how (.) Tôi hỏi anh  
 này  
 113 ‘What’ *is followed by?* Why (.) why *then to* how (.) *If I ask this guy*  
 á kiểu gì anh cũng nói là kế hoạch của tôi đầu tiên sẽ là tốt nghiệp lấy  
 114 *for certain that he will tell me his first plan is to graduate*  
 bằng loại tốt sau đó đi làm lấy kinh nghiệm, kiếm tiền, tiết kiệm tiền  
 115 *with honours degree, then go to work for experience, earn and save*  
 đi du lịch, có 1 cô bạn gái rồi mua nhà, sau này sẽ nuôi bố mẹ đúng  
 116 *money for travelling, get a girlfriend, buy house, then take care of*  
 his  
 không ạ? Beautiful, beautiful dreams nhưng mà thường thường chúng  
 117 *parents right?* Beautiful, beautiful dream *but we are normally*  
*paying too*  
 ta sẽ bị lấn sâu rất nhiều vào cái gì nhỉ What, what, what mà chúng ta  
 118 *much attention to what?* What what what *and we*  
 quên đi cái gì nhỉ? ‘why’ ‘why’ xong rồi cái quan trọng nữa để đi đến  
 119 *forget what?* ‘why’ ‘why’ *and then the more important thing*  
 thành công là ‘How’. Ước mơ của người Việt Nam đó là ‘pink’ very.  
 120 *to achieve success is* ‘How’ *Vietnamese’s dreams are in* ‘pink’ very  
 good nhưng thường thường sometimes unreal, không thực tế lắm. Ví  
 121 good *but normally* sometimes unreal, *not practical*. For  
 dụ “what colour do you like? What colour do you like?” You know  
 122 *example* “what colour do you like? What colour do you like?” You  
 know  
 colour? White (.) What colour do you like? Bạn thích màu gì? Red?  
 123 colour? White (.) What colour do you like? *Your favourite colour?*  
 Red?  
 Màu đỏ. Chúng ta sẽ trả lời ngay là màu đỏ. Nghĩa là ‘what’. Bạn chỉ  
 124 *Red we can immediately answer ‘red’ for the question ‘What?’ you*  
 trả lời vì tôi hỏi bạn là ‘what’ nhưng bạn phải trả lời tôi là  
 125 *only answer because I asked you* ‘What’ *but you have to answer me*  
 ‘what’ nhưng thường thường bạn phải trả lời kèm theo cái gì. Tôi sẽ  
 có  
 126 ‘what’ *but along with something else. I give you*  
 3 cây bút cho các bạn nhé. 1 cây bút màu red, 1 cây bút black, và 1  
 127 cây *three colour pens, one in red, one in black and one*  
 bút yellow. Tôi cần 1 cây bút để viết, bạn chọn màu nào?  
 128 S Black  
 129 T Bạn  
 You  
 130 E Black  
 131 T Bạn  
 You  
 132 K Black  
 133 T Rồi. Bạn? Ok và theo thống kê đó thì tôi phải chọn cây bút nào còn  
 134 *Ok you? Ok and according to the statistics I have to choose the pen*  
 mực. You know what I mean? Go to the core. Các bạn phải tìm tới  
 cái

- 135            *still has ink.* You know what I mean? Go to the core. *You have to go*  
               cốt lõi của vấn đề thì bạn mới giải quyết được Ok và khi học tiếng  
 136            *to the core of the problem in order to solve it OK and it applies to*  
               Anh cũng vậy, các bạn phải tìm được cái mấu chốt của các bạn nó  
               *learning English you have to find where your problems*  
 137            nằm ở đâu (.) Các bạn nói rất chung chung, pronunciation nó khó,  
               *lie (.) You all mention it too general (.) pronunciation hard (.)*  
 138            vocabulary nó khó  
               Vocabulary *hard*

The extract takes place where Jack asks the students to confirm which areas of English they find difficult. For the first few turns, Jack code-switches to translate meaning of ‘grammar’ and ‘vocabulary’ for the students to follow (translation function). However, after understanding that the majority of the students found all three areas (pronunciation, vocabulary and grammar) challenging, Jack switches completely to L1 in order to perform a discursive action of implicitly problematizing the students’ indirectness in elaborating their problems. This is a good example that demonstrates the positionality principle where Jack assumes the role of a problematizer and assigns the student the role of problematizee. This chain of narration, in which he provides example situations to provide evidence for this point, authenticates the role of a problematizer, illustrating the authentication relation in Bucholtz and Hall’s (2005) relationality principle. Specifically, this discursive act of problematizing is first carried out through Jack’s display of intercultural knowledge and stereotyping. This is marked from line 95 to the end of the extract where Jack elaborates his understanding of the cultural difference in expression style between Southeast Asian people and Western people (lines 96 to 103); while Southeast Asians favour wordiness, Western individuals prefer clarity and directness. The overt mention of these qualities and labels indexes an epistemic stance that positions Jack as someone knowledgeable about different styles of expression. Following this, Jack constructs a neutral position by commenting, “none of this is bad” (line 99). However, this comment is actually used to moderate his favour of the Western style over the Southeast Asian style by saying, “but we learn from the West” (line 100). Jack makes use of his example about the Southeast Asian people’s tendency to be wordy to authenticate his identity as a problematizer (lines 107-109). The use of verbs such as ‘wasted’ (line 109) can be linked to his more favourable attitude of the Western style. In lines 119 and 120, Jack produces the second stereotype, this time

directly humiliating Vietnamese people by highlighting the impracticality and unreal nature of their dreams. His use of the term “pink dreams” carries a judgemental force. This term acquires its force through its ideological association of the colour pink with lame and unreal qualities. This demonstrates effectively the indexicality principle where using this term indexes an evaluative stance that portrays Jack as a critical person and at the same time distances Jack from his Vietnamese students.

Putting forward cross-cultural comparisons, stereotypes and negative judgements about Southeast Asia and Vietnamese people, Jack positions himself as a person who is interculturally competent and well aware of such weaknesses. Moreover, by aligning himself with critical thinking towards Southeast Asian people’s way of speaking, Jack takes a reflective and distancing position, which in turn contributes to constructing his identity as a critical bilingual teacher. This is further evident and supported in a later phase within the extract where Jack brings up the colour-pen situation (lines 121-134). In the remaining part, Jack makes his message explicit to the students by detailing the solution (“go to the core of the problem” lines 314 and 315). The pronouns “you” and “I” are used throughout to help Jack discuss the issues with his students openly. With the repetition of “have to” (lines 134 and 136) to express a strong obligation, Jack indexes an authoritative and epistemic stance, positioning himself as an expert who fully acknowledges the students’ weaknesses and is responsible for offering the steps required for the students to tackle their learning problems.

## **4.2. Conclusion**

In this analysis chapter, I have focused on the first discursive strategy, CS, to address my first research question of how the Vietnamese teachers in my study negotiate and construct their identities. The analysis has shown that the whole range of identities is constructed and mobilised by the teachers’ code choices. While some of these identities are closely linked to the expected professional identities of teachers, many other unexpected identities, such as a friend, an in-group member, an unconventional and critical bilingual teacher, are identified.

This multi-layered nature of identities is also realised and informed through the interviews with the teachers, for instance, the various and unfixed identities that Joy claims for herself when being asked about her perception of her role in the classroom:

*Interview extract 4.3. Joy's first-phase interview*

Sometimes in the class they ((the students)) are very, you know, tired and disappointed about themselves. Feel as if English is terrible, very difficult. So sometimes support, encourage, make them stronger. So like tour guide, mother or sister.

While Joy sees herself as a tour guide, a mother or sister to her students, Jane in the next interview extract associates herself with not only being a guide and a supporter but also highlights her role as a friend to the students by distancing herself from the conventional ideas about 'teachers' in Vietnam society.

*Interview extract 4.4. Jane's first-phase interview data*

I expect myself to be the guide, the supporter, not the 'teacher' actually because I just want to provide some main vocabulary and I try to organise some activities. Because I do expect that my students can use the words in context, it means that they have to speak and write to do something with that word...When I say I don't want to be the 'teacher' it means that I want to mention the traditional roles of teachers in Vietnam – Vietnamese teaching context...we don't want to be like the teacher who reads and asks the students to learn vocabulary and tries to translate it into Vietnamese. I am a quite easy-going person, I am a little bit humorous so in the first class, I try to express myself to my students that "well, I am here to help you, not scare you, I don't scare you, I am here to help you, I am your friend" and you can see that we laughed a lot in my class.

It is noted that the multiple identities drawn from the teachers' interviews might differ from those found from the analysis when looking at the first prominent discourse, CS. However, this variety of teachers' identities reflects the dynamic, multifaceted nature of teachers' identities and highlights the fact that these teacher participants are aware of their dynamic identities and roles in the classroom.

In addition to the dynamic construction of teachers' identities, switching to English seems to maintain a formal learning environment, switching to Vietnamese seems to create a friendlier environment where teachers' other unexpected identities are negotiated. Drawing from the analysis, it is also observed that teacher identity construction is a complex process within which the teachers' identities are constantly negotiated and shifted along the unfolding of the classroom interaction. This echoes what was discussed previously in the literature review about the multiples of identities and their socially-constructed nature.



In response to previous research on Vietnamese teacher identities, my initial findings hint at a more complex understanding of this issue. Specifically, it might not be the case to associate Vietnamese teachers with authoritative and powerful positions. It is evident from the data that there are many instances where the teachers align and construct their in-group identities with the students, which presents a reconsideration of this direct assumption about Vietnamese teachers' privileged positions.

It is also noteworthy that in many of these instances of CS, teachers' use of L1 is also used to play with interactional resources such as humour. It is later observed that beside these L1 humorous instances, humour is frequently deployed in different contexts and exchanges between teachers and students. The coming analysis chapter therefore focuses on the second discursive strategy, humour, to examine how this linguistics phenomenon is deployed and its connection to the participants' identity construction.

## **Chapter V – Humour and the construction of teachers’ identities**

Section 2.6.2 has briefly reviewed the mechanism of humour, a wide variety of functions of humour in the educational context and how humour in interaction can be linked to speakers’ identity construction. This chapter will elaborate on this, but also focus on detailing the discourse aspects of how humour is deployed in the classroom interaction, as well as its implicit/explicit links to teachers’ identity construction.

The main contribution of this chapter resides in its attempt to explain the complex role of humour in teachers’ identity construction through various ways of creating humour identified from the data, such as lexical items, unexpected ideas or action, tone of voice, self-disparaging and teasing humour. It is argued that humour is not engaged strategically in the discourse to merely perform pedagogical functions, such as facilitating learning and creating a motivating learning environment. Beside these expected functions of humour, by initiating and participating in humour, it is seen as a useful discursive linguistic strategy for other, less expected teachers’ identities to come into play, such as a playful person, a friend, and a teaser. The analysis draws on various discourse features, such as tone of voice, content of turns and the classroom sequences, to detect humour instances in the data. Additionally, these instances of humour are considered in Bucholtz and Hall (2005) sociocultural linguistic approach (see section 2.3, Chapter 2, p. 23) to identify and investigate teachers’ identity construction.

### **5.1. Participants’ attempt at humour**

A thorough examination of the data set shows that humour is a frequent linguistic strategy in the classroom discourse. The frequency of humour instances varies from teacher to teacher with the highest average number of six instances per lesson and the lowest with two per lesson. Regardless of the various frequencies, the data show that these Vietnamese teachers attempt to introduce humour into their classroom practices. It is observed from the data that these humour instances occur throughout the lessons, in various forms and perform various functions in the classroom discourse (Banas *et al.*, 2011; Bell, 2009). The following sections detail these varieties and the correlation to how teacher identities are constructed in the classroom context.

## 5.2. The pedagogical functions of humour and teachers' identities

Several functions of humour instances in my data document the findings of previous studies of humour in the classroom, such as facilitating a learning environment (Stuart and Rosenfeld, 1994; Paajoki, 2014) or moderating the effect of criticism (H. N. H. Pham, 2014). In order to create and maintain a relaxed learning environment, humour is used in numerous ways, including acting out the example (extract 5.1), humorous follow-up turn (extract 5.2), occurring momentarily in between a teacher's turn (extract 5.3), as well as students' turns (extract 5.4). Meanwhile, the use of tone of voice and conjoint humour are used to mitigate the negative effect of teachers' criticism and judgement.

### 5.2.1. Amusement and learning environment

It is expected that in the setting of the classroom, teachers engage in humour strategically in order to perform several instructional tasks such as demonstrating the lesson content more stimulatingly, as in the following extract from Hope's data. In this extract, Hope creates humour by acting out the situation to provide a better explanation and to distinguish new words for students. The extract takes place during a vocabulary session where the teacher goes through a given list of words and elicits meanings from the students.

*Extract 5.1. Introducing new words (Hope's lesson 01/04)*

*(T: the teacher; A: Anne, a female student)*

- 73 T Anyone do you get what does it mean by propose↑ ok not like  
74 2.0  
75 T Not like when you propose to get to marry to a girl that is different propose  
76 ok for example Anne give me your hand  
77 T Ok will you marry me? ((Exaggerated tone of voice))  
78 A Yes  
79 ((Class giggles))  
80 T That's propose but this propose is different. You propose means you  
81 suggest

The word in question is 'propose' and Hope is trying to distinguish different connotations of this word for the students. In line 73, the teacher initiates a question with a raised tone of voice for the word 'propose'. After a two-second gap without any responses, in line 75, Hope provides a clue adding that the connotation of 'propose' in this case is not similar to "get to marry to a girl". The sequence from line 76 to line 78 is where the humour instance is played out. The effect of this

teacher-initiated humour is not only created by the teacher's exaggerated tone of voice (Attardo *et al.*, 2013) in line 77 but also from the fact that the selected student is female. It is assumed that it might be awkward if the teacher chooses a male student to hold hands with and propose to due to the Vietnamese culture; however, for such a demonstration where the teacher is holding a female student's hand (Anne) to ask "will you marry me" obviously evokes an incongruent idea, triggering the giggles from other students in line 78.

In terms of identity construction, evoking and taking an affective stance of playfulness and creativity by acting out to illustrate the word meaning, Hope constructs her identities as a fun and resourceful teacher. Drawing from the adequation/distinction relation in relationality principles, Hope's acting out the example also distances herself from the normal behaviours associated with Vietnamese teachers which are the teachers' solemn manner/expression and keeping distance from the students (T. T. Q. Nguyen, 2015). It is the unconventional deployment of the teacher's interactional repertoire that makes the humour successful. Moreover, the cooperation of Anne in line 78 by saying "yes" to the teacher's proposal is also prominent, since it signals that the student is playing along with the teacher's joking scenario ('mode adopt', Attardo (2001)). This response not only means that the student perceives the teacher's proposal as non-serious, it also implies a close and friend-like teacher-student relationship.

It is found from the data that, in order to create a positive learning environment, teachers also do humour by producing humorous follow-up and instructional turns, such as in extracts 5.2 and 5.3 respectively. In extract 5.2, the teacher successfully brings off humour by producing a follow-up turn with a smiley tone of voice. This extract is taken at the beginning of the lesson when the teacher introduces the topic.

*Extract 5.2. Topic: Music (Jane's data, lesson 03/04)*

*(T: Teacher; F: Faith; B: Ben; Ss: other students)*

- 20 T Ok our topic today is quite exciting it is music
- 21 Ss Oh:::
- 22 T Do you like music?
- 23 Ss Yes::
- 24 T Can you sing?
- 25 F No
- 26 B A little
- 27 T A little a little ((surprising tone)) ok so we hope that we can enjoy your

singing today ((smiley tone))  
28 Ss Yes hihi ((some students chuckle))

In the beginning of the extract, the teacher introduces the lesson's topic and receives a positive response from the students in line 21. The teacher then continuously poses two more questions in order to gain the students' perspectives on the topic in lines 22 and 24. Particularly, in response to teacher's question "can you sing?" in line 24, Ben mentions his moderate ability in singing, which is taken up by the teacher in line 27. As we can see in line 27, the teacher first repeats Ben's response and expresses the whole class's expectation to hear Ben's singing. It is interesting to see the teacher's use of the pronoun 'we', which includes the teacher and other students, but not Ben.

The exclusive pronoun 'we' not only distances the teacher and the rest of the class from Ben, it also marks Ben as the centre of attention. Also singing in front of the class is perceived as a potential face-threatening situation, especially if Ben cannot sing very well. Due to the high-risk level of this situation and the fact that Ben has fallen into a situation to which he cannot merely say 'no', brings a humorous element to the classroom discourse, which explains the students' laughter that follows in line 28. However, it is noted that encouraging the students to sing in the classroom is not typical in Vietnamese classrooms where the main focus is on teaching and learning. Hence, the teacher indexes an affective stance, which associates the teacher with someone easy-going and fun-loving.

Teacher-initiated humour can occur not only in between the sequence with the students, but can also be created momentarily within a teacher's turn as in extract 5.3. What is significant in this extract lies in the fact that the teacher can successfully bring in the effect of humour even within a very short part of a turn. The extract is taken during the end of Claire's lesson where she asks the students to work in pairs and practice the structure of "what's that" and "what's this". A student in each pair is asked to make use of their school bag and the things inside to practice with their partner. Extract 5.3 takes place when the teacher provides the instruction to carry out the task appropriately.

*Extract 5.3. Guessing each other's items (Claire's data, lesson 21/03)*

*(T: Teacher; Ss: Students))*

- 75 T Uhm now (.) practice together practice together no no no come here  
76 come here and you can use your bag chúng ta sử dụng những cái gì  
77 vật dụng trong túi cứ bỏ ra hỏi 'what's that?' 'What's this' cái gì bí  
78 mật thì bỏ lại ((smiley tone))  
75 Uhm now (.) practice together practice together no no no come here  
76 come here and you can use your bag ***we use whichever things are in***  
77 → ***our bags take them out and ask*** 'what's that?' 'what's this' ***anything***  
78 → ***secret you can leave them inside*** ((smiley tone))  
79 Ss Hihihi ((Students giggle))  
80 T Now now quick quick quick stand up stand up

The extract begins with the teacher giving instruction and managing student pairs for the practice to take place. It is apparent that, while lines 75 and 76 mainly focus on detailing how the task should be, there is a sudden shift in the teacher's tone of voice towards the end of the turn in lines 77 and 78 when the teacher says "anything secret you can leave them inside". On the one hand, through the statement, the teacher is aware of the fact that there are things which the students would not be willing to share with their partners. These things are personal or perhaps sensitive if the students were forced to expose them to their friends. With the smiley tone of voice (Bell, 2006), the teacher signals a humorous frame beneath which the teacher jokingly draws attention to the possibility of the secretive aspects inside the students' bags and hence creates humorous reactions. This humorous reaction greatly assists the procedure of setting the task, i.e. the more engaging the procedural talk is, as in this extract, engaging through the use of humour, the more likely it is that the students will be positively oriented to the task (humour as a mediating tool, Bell (2009). Moreover, using humour in places of instruction, the teacher's turn also evokes a stance of playfulness, which positions Claire as someone who is funny and witty.

Drawing from the previous three extracts, it is interesting to see how the teachers engage in humour in the classroom discourse within their turns. The next extract, 5.4, demonstrates how Joy brings off humour within students' dialogue sequence. Similar to the functions of humour in the previous three examples, the teacher-initiated humour in extract 5.4 also aims to bring in amusement into classroom interaction, albeit occurring when the students are holding the floor. Situated in the presentation section, extract 5.4 is taken from the play of Mya and Jay. In this task,

the teacher divides the class into several groups with each one being assigned a situation. The students discuss with their team members how to structure their play within the 15-minute allotted time.

*Extract 5.4. Acting out given situation (Joy's data, lesson 24/03)*

*(T: Teacher, M: Mya; J: Jay; Ss: other students)*

- 40 M Tut tut tut ((mimicking telephone calling))
- 41 (1.0)
- 42 J Hello Mya
- 43 M Hello Jay
- 44 J How are you today?
- 45 M Uhm I am fine thank you (.)
- 46 J Uhm I am fine ah I am::::
- 47 T → I miss you ((smiley tone))
- 48 J >I miss you<
- 49 T+Ss Hahaha
- 50 J Do you have free time tonight?
- 51 M Oh yes I am free tonight
- 52 J I uhm can I invite you or ah can I invite you have dinner this-tonight
- 53 M Yes ok see you tonight
- 54 J Yes bye bye
- 55 M Bye bye

At first glance, we can see that Mya and Jay actively interact with one another in order to act out the situation of 'a couple's first time dating'. From lines 40 to 46, Mya and Jay exchanges turns and asks casual questions, however, in line 46 when Jay seems slightly confused with the stretching sound "I am::::", the teacher promptly jumps in and completes Jay's turn. It is the content of the teacher's suggestion, teacher's tone of voice and Jay's uptake of the teacher's humorous coaching, that create laughter in this case (line 49). It is noted that Mya and Jay are not in a relationship, yet they are grouped and assigned a situation which possibly involves awkward moments of pretending to be one another's lover. Although everyone is aware that Mya and Jay are acting to fulfil the task at hand, the teacher's interruption and initiation repair with "I miss you" seems to break the formal barrier between the two students. Moreover, the content of this other-initiated other-repair turn also indexes an affective stance of wittiness and hence portrays the teacher as someone playful, albeit momentarily. With its potential effect of crossing the line, it is sensible that the teacher's turn is structured with a smiley tone, signalling non-seriousness.

Although Jay's mode adoption (Attardo, 2001) in line 48 is predicted, the fact that Jay quickly and overtly expresses his feeling to Mya triggers a funny scenario, resulting in a burst of laughter in line 49. After the laughter dies out, Mya and Jay continue their task. It seems that the play carries on more seamlessly without any pauses, stuttering and stretching sounds, as observed in the remaining segment of the extract. It is evident in this extract that teacher-initiated humour can be successfully done even within a short moment and creates a relaxed and engaging learning environment (Rosenfeld, 1994).

### 5.2.2. Mitigating the effect of judgement and criticism

In addition to the functions of bringing amusement to the classroom setting, humour is frequently used to mitigate the effect of negative feedback from the teachers. Instead of explicitly correcting the students, the teachers use humour to maintain a positive classroom mode, at the same time getting their message across. Drawing from the data, the most frequent ways of creating humour are playing along with the student, tones of voice or humorous comments. Extract 5.5 demonstrates how the teacher deals with situations when students break the classroom's rules by using humour to play along and change the students' behaviour. The extract is taken from a classroom discussion where Jane observes the students' discussion in order to offer help if required. The topic at hand centres on 'film and movie'. The students are divided into pairs to talk about their favourite film. Extract 5.5 captures the conversation between Sky and Joel when they are discussing a famous Japanese horror movie, 'The Ring'.

*Extract 5.5. Film and movie (Jane's lesson, 03/04)*

*(T: Teacher; S: Sky; J: Joel; B: Beth; N: Nur; Ss: other students)*

- |    |     |  |
|----|-----|--|
| 7  | S   | The Ring in the Japanese Japan                                 |
| 8  | Ss  | Yes yes yes  |
| 9  | S   | The Ring Samudo ah Sadako                                      |
| 10 | Ss  | Hihhi ((whole class chuckles))                                 |
| 11 | J   | Sadako không biết<br>Sadako <b><i>don't know</i></b>           |
| 12 | S   | The ghost is Samo  |
| 13 | B   | Xem phim không biết tên nó toàn dính tiếng Việt                |
| 13 |     | <b><i>Don't know the names due to Vietnamese subtitles</i></b> |
| 14 | T   | Samo or Saritaro   |
| 15 | Ss  | Hihhi ((whole class chuckles))                                 |
| 16 | N   | Ajinomoto  |
| 17 | T → | Ajinomoto (.) come back to English please ((smiley tone))      |



18 Ss Haha ((whole class laughs))

In the beginning of the extract, from lines 7 to 13, Sky, Joel and Beth are exchanging turns to recollect details of the Japanese movie “The Ring”. During these turns, Sky is trying to gain consensus of the main character’s name in the film and seek her friends’ opinions. However, in lines 11 and 13, Joel and Beth switch to Vietnamese and express their uncertainty of Sky’s suggestion of the main ghost’s name as “Samo”. Although the students are excitedly discussing the lesson topic, the use of Vietnamese in line 13 is seen as violating the teacher’s expectation (English only class).

From lines 14 to 18, we can observe how the teacher deals with the matter of students using Vietnamese by making use of humour. Line 14 marks the teacher’s participation in the students’ discussion when she offers her opinion on the name of the character “Samo or Saritaro”. It is noted that while “Samo” is a repetition of Sky’s suggestion, “Saritaro” is a made-up name. Owing to the teacher’s contribution of an artificial sounds-like Japanese name (prosody as humour cue, Attardo *et al.* (2013)), this creates a humorous effect, which explains the students’ laughter in the following line (15). In line 16, following the teacher’s turn, Nur quickly provides another irrelevant name “Ajinomoto” (a well-known Japanese product in Vietnam). The teacher continues to play along with the student’s humorous utterance by reiterating Nur’s turn and delivers her request with a smiley tone of voice. It is clear from the extract that playing along with the students helps the teacher maintain a relaxed atmosphere and at the same time plays down the effect of face-threatening acts (FTAs), as in this example, requesting the students not to use Vietnamese. By using humour, the teacher establishes herself as someone who is in charge but manages not to exercise her authority harshly which would affect the classroom atmosphere.

The effect of a teacher’s negative feedback is also effectively toned down with the means of a teacher’s exaggerated and humorous tone of voice, as in extract 5.6. In this extract, the teacher is trying to elicit the meaning of the word ‘flood’ from the students.

*Extract 5.6. Teaching new vocabulary (Hope’s data, lesson 06/05)*

*(T: Teacher; Ss: whole class)*

140 T Student B, do you know flood↑ Ok in Hue in the middle part of  
 141 Vietnam during June July there's often flood shuz::::: ((mimicking  
 142 rain sound)) when there's a lot of rain a lot of water covering the area  
 143 Ss Sóng thần  
 143 **Tsunami**  
 144 T → Sóng thần No↑ ((exaggerating tone of voice)) ((students giggles))  
 144 **Tsunami** No↑ ((exaggerating tone of voice)) ((students giggles))  
 145 Ss Bão  
 145 **Storm**  
 146 T → No↑ ((exaggerating tone)) ((students keep giggling))  
 147 Ss >Lụt lụt <  
 147 >**Flood flood**<  
 148 T Yeah↑ when there's too much water

From lines 140 to 142, the teacher initiates questions and provides contextual information in order to help the student guess the meaning of the word 'flood'. Noticeably, mimicking the sound of rain (line 141) is employed to better stimulate the student's guessing of the word, but also creates a relaxed classroom setting. The students attempt to provide the Vietnamese translation of the words three times (lines 143, 145 & 147). In response to the first two wrong answers, it is noted that an unequivocal "No" answer is repeatedly followed. Such direct negative feedback, in this case, is not considered as a threat by the students; on the contrary, the teacher adopts an animated and humorous approach to the lexis by combining an exaggerated tone of voice with a direct negative answer to bring off the humorous effect (Bell, 2006). By doing so, the teacher can avoid focusing on the effect of a student's wrong answers, as well as quickly getting the students to try another guess. If in extract 5.5, the teacher gradually grounds the request through conjoint humour, in this extract, the teacher seems very direct and explicit in providing negative feedback. The effect of this directness and explicitness might be harmful and discouraging if the teacher were to express it differently, such as with a serious tone of voice. By using the smiley tone, the face-threatening and judgemental elements of the teacher feedback are diminished and instead a stance of friendliness and jokiness is indexed, which seems to resemble a conversation between friends.

Thus far, drawing from the classroom interactional data, this first section has demonstrated different ways that the teachers deploy humour to create a relaxing and interesting classroom environment for their students. This observation is not only drawn from the classroom interactional data, but is also reinforced from my observational notes as well as interview data. When the participants were questioned

about the humorous episodes of their classroom talk in the follow-up interviews, all of them highlight the critical role of using humour in their classroom and its positive impact on the classroom environment:

Interview extract 5.1. Hope's phase two-interview

It ((humour)) helps to clear up any stressful atmosphere and gives them a friendly environment to study in.

While Hope considers humour an important means to reduce stress and create a good learning environment for her class, Claire in the following interview extract emphasises the role of humour in gaining students' attention.

Interview extract 5.2. Claire's phase two-interview

I suppose a sense of humour is an essential trait or characteristic of a good English teacher; sometimes when students are really bored with the class and the lesson, your humour will save them and get them back to the lesson and sometimes I just try to be funny then I can grasp the attention of my students.

As humour has been perceived to be a useful pedagogical tool for Hope and Claire in their classroom, we can observe Jane and Jack in the following interview extracts considering being humorous (and hence using humour in the classroom) as an aspect of their identities.

Interview extract 5.3. Jane's phase two-interview

I am humorous in nature and then when I look back and I find that "whoa, good point, helpful" so I think humour is very important as a teacher, and the biggest benefit is you can create the friendly and the comfortable atmosphere where the students are free to talk, free to learn in English and they get more confident.

Interview extract 5.4. Jack's phase two-interview

To use humour maybe naturally comes from my characteristics or it is a part of me; if I came to my class with a serious face I couldn't teach or if I see my students with serious faces I couldn't teach as well. I want two sides to be fun and to be happy and we enjoy the class, enjoy learning and learn to enjoy.

It is interesting to see the ways these participants perceive the role of humour, albeit generally, from the interview data. Drawing from the interview data, it seems that the teachers' belief and opinions about the role of humour is congruent with their

classroom in terms of their attempts to deploy humour into the classroom discourse (as analysed in the first section of this chapter).

### 5.3. Humour and interpersonal functions in the classroom

In an attempt to build a friendly, engaging and encouraging classroom environment, it is identified that humour is employed as a means to enhance teacher-student rapport. Frequently, teachers make use of self-disparaging humour to make themselves the target of the joke in order to establish a relationship with the students. Teasing humour is another frequent type of humour that reflects and strengthens the relationship in the classroom.

#### 5.3.1. Self-disparaging humour and rapport

The thrust of employing self-disparaging humour is an attempt to be seen as funny and approachable. This type of humour is hence very useful to play down the teacher status (Glenn, 1995) and strengthen the teacher-student rapport in the classroom (Boxer & Cortés-Conde, 1997). As seen from the data, the areas in which the teachers often ground their self-disparaging humour are appearance, family and career. It is notable that the teachers' make use of these personal topics rather than professional ones to create self-disparaging humour. This reflects the sociocultural expectation of the teachers in Vietnamese society as the masters of knowledge, since it will be more detrimental if the teachers were to make fun of their professional abilities, for example language ability (T. T. Q. Nguyen, 2015). Therefore, by using personal topics for self-disparaging humour, the teachers can enhance teacher-student relationships by letting the students get to know them while maintaining their status of the knowledge experts. Extracts 5.7 and 5.8 demonstrate how the teachers create humour by self-disparaging their *appearance*.

*Extract 5.7. Introducing yourself (Jack's data, lesson 13/03)*

*(T: Teacher)*

- 21 T So I am going to introduce a little bit about myself. My name's Khoe, you  
22 can call me Jack ok? Ok my English name is Jack. You know Khoe means  
23 healthy but ((smiley tone)) actually I'm ((teacher scoffs)) not very healthy  
24 → right? Skinny but >nice body I think< ((smiley tone)) and I am 27.

In this extract Jack uses self-disparaging humour by making contrast of the meaning of his name (literally means 'strong') and his body shape. By using the contrary comparison, the teacher shifts the focus onto his body shape and makes fun of his

skinny body. Interestingly, following his throwaway, another evaluation “nice body” with a smiley tone is quickly delivered. Given the context of this first lesson where Jack introduces himself to his new students, this self-disparaging humour can help the teacher to establish a closer relationship with the students. The teacher’s use of self-disparaging humour focusing around his appearance indexes a friendliness stance, which constructs himself as an approachable teacher.

Similarly, the deployment of self-disparaging humour of appearance is also found in Claire’s class in extract 5.8. In this extract, the teacher expresses her awareness of her appearance and her desire to lose weight.

*Extract 5.8. Managing tasks (Claire’s lesson 21/03)*

*(T: Teacher; Ss: whole class)*

- 88 T Now please stand up hey căn bản tôi cũng thích giảm cân cho nên là  
89 khoá học này muốn các bạn đứng nhiều luyện tập nhiều ready? ((Smiley  
88 → tone))  
89 → Now please stand up hey ***basically I also want to lose weight so expect  
you to stand up more often in this course to exercise*** ((smiley tone))  
90 Ss Yeah

This extract is taken in the middle of a lesson when the teacher manages the classroom to carry out tasks. It is clear that in the beginning of line 88, after asking the students to stand up, the teacher’s use of an informal word “hey” seemingly marks her departure from the instructional mode. By switching to Vietnamese, her admission of linking the classroom action with her desire to lose weight is made explicitly. The functions of self-disparaging humour are not only creating funniness, but also helping the teacher to tone down her request and her identities as an authoritative figure, hence maintaining a close and friendly relationship with the students. Drawing from the authentication and denaturalization relation in the relationality principle (Bucholtz and Hall, 2005), the extract nicely demonstrates how the teacher uses self-disparaging to justify her request and authenticate her identities as someone open and approachable, rather than a superior.

Beside self-disparaging humour of appearance, aspects around the ***teacher’s life*** are also potential topics to create humour and enhance relationships. Extract 5.9 is the example where the teacher makes use of her work, life and financial situation to create self-disparaging humour. The extract centres on a conversation between the teacher and one of the students. From previous turns prior to this extract, a student

shares her thoughts as a cashier working in a bank. According to this student, although working in a bank is good financially, the student is bored with the job and her tiredness over time. The extract captures the teacher's response to the student's opinions.

*Extract 5.9. Job and career (Jane's lesson 30/03)*

*(T: Teacher; Ss: whole class)*

- 223 T I have to go to work in the morning at the university and the afternoon  
 224 again at the university and in the morning (.) sorry in the evening (.) the  
 225 centre I have to work overtime long hours and then I have to do the  
 226 housework (.) prepare the meal take care the children ((dragging tone of  
 voice))  
 227 Ss Oh hihhi ((class giggles))  
 228 T And do everything in the house do everything at the job still poor very  
 229 poor  
 230 Ss Ah hihhi ((class giggles))  
 231 T I think it is ok lucky you because you earn a lot of money and you have  
 232 a 'soái ca' husband ((joking tone))  
 232 **'Mr. right'** husband ((joking tone))  
 233 Ss 'Soái ca' hahahaha ((class laughs))  
 233 **'Mr.right'** hahahaha ((class laughs))

From lines 223 to line 226, the teacher initiates a relative long turn detailing her daily work schedule. The repetition of the auxiliary verb "have to" in conjunction with her dragging tone of voice are employed to greater dramatize and depict her busy working life. It is the way the teacher forms the description and its slightly exaggerated features that create the funniness and cause the students' laughter in line 227. After that, the teacher explicitly shares her current finance stage by linking it with adjective "poor" and an intensifier "very poor" (lines 228 & 229). It is noted that all of this information about the teacher is not taken seriously by the students as they are giggling along the teacher's turns. The teacher's description of her life and work indexes an affective stance of struggling, which portrays her as a hard-working person who struggles to make ends meet. These explicit identities create a foundation for the teacher to explicitly deliver a message to the student (the banker) of how lucky the student is and that the student should appreciate her career and family at the moment, as in line 231. This turn also marks the teacher's identity shift from a hard-working teacher depicted from earlier turns to that of an adviser. The teacher plays with the term 'soái ca' in order to tone down her opinion. This term is often associated with a category of ideal men who have all the qualities that are

appreciated by Vietnamese women, such as being gallant, caring, handsome, romantic and rich. This term gains its humorous effects in this situation since it is frequently used among the youth with a witty touch to it. By using this term, the teacher creates an unexpected situation that successfully brings about a burst of laughter in the classroom. The humour also evokes a stance of jokiness that in turn gives an impression that the teacher is someone who is trend-catcher, funny and witty.

It is interesting to see from this section that the complex functions of self-disparaging humour deployed in the classroom can help teachers to reveal their personal aspects, and hence establish a closer relationship with students. The importance of understanding, being close and friendly to the students is also highlighted in the teachers' interviews.

Interview extract 5.5. Joy's phase-one interview:

If the teacher understands the students, so I mean here the story of learning, we just sometimes care about their psychology even in our lives sometimes we feel very tired disappointed about ourselves and we have some difficulties and we need to be good friends so that we can overcome difficulties together. One more thing here is if the students they love the teacher they are willing to share anything, even difficulties in learning, for example "hey teacher, I don't understand this one can you repeat can you explain to me?" so I mean being outgoing and approachable is better and really important.

In this interview extract, Joy puts emphasis on the interrelation between having a good relationship with the students ("we need to be good friends"; "they love the teacher") can have a great impact on both teachers and students ("we can overcome difficulties together"). Therefore, being outgoing and approachable (deploying humour as one of the ways), from Joy's point of view, is prominent. The teachers' use of humour is also perceived very positively from the students' points of view as expressed in students' interview data, as in interview extracts 5.6 and 5.7:

Interview extract 5.6. May, a student in Jack's class

Không khí vui vẻ thoải mái tự nhiên, chuyện nghiệp để giúp mình học được tiếng anh. Thầy không phải thầy giáo, đi chơi với bọn em rất bình thường. Vui tính thân thiện nói nhiều

***The classroom environment is natural, relaxing, professional and helps me study English better. He is not really the teacher; he goes out with us. He is humorous, friendly and talkative***

As seen from May's interview data, the impression that May has about Jack (as being humorous, friendly and talkative) is one of the factors that makes May have a positive feeling about the classroom and hence has a great impact on her study. More noticeably, in the following interview extract, Shay, a student in Hope's class, not only expresses her positive opinions about her teacher (Hope), but also highlights the great benefit that a friendly and intimate teacher-student relationship can bring about in the classroom:

Interview extract 5.7. Shay, a student in Hope's class

Trong quá trình học thì em thấy cô Hope là 1 người rất nhiệt tình, hoạt bát và cái kiến thức cô cung cấp cho bọn em thì phù hợp với quá trình học...ngoài việc cô đưa cho bọn em chơi trò chơi ra thì cô cũng chơi cùng bọn em. Em nghĩ là cũng rất là vui khi mà có được sự hoà đồng giữa cả học sinh và giáo viên. Thường thì là những lớp mà trước em học giáo viên họ chỉ đưa ra chung chung cách thức để chơi như nào sau đó thì họ để cho mình chơi và họ xem là mình chơi như thế nào. Nhưng khi mà có sự hoà nhập giữa cả cô giáo và học sinh thì em nghĩ rằng thì đó là cách thức mà mình có thể học rất tốt. Em nghĩ rằng nó rất là hay. Em nghĩ rằng là cách dạy học được yêu thích nhất là khơi cho học sinh của mình niềm yêu thích tiếng Anh cho nên em nghĩ rằng là sự lựa chọn thân thiện của Hope rất là hiệu quả hơn là mình dập khuôn để bắt học sinh học là 'hôm nay mình sẽ học bài gì?' 'hôm nay mình sẽ học bài kia' hay là phải làm thế này phải làm thế nọ. Em nghĩ là như thế.

***I think Ms Hope is a very enthusiastic, vivacious teacher, and the knowledge she provides us matches our needs...when she lets us play games and she also joins us. I think it is much more fun to have a friendliness between teachers and students. In the previous classes that I attended, the teachers only gave us the instructions and then watched how we played the game. However, I believe I can learn the most when a friendly and approachable environment between teachers and students is achieved. I think the best teaching approach is to inspire and to nurture the students' love for English. So I think Ms Hope's being friendly and approachable is much more effective than following a fixed format that imposes on students, such as 'what will we be learning today?' 'today we will study this lesson' or 'do this, do that'. I think so.***

It is interesting to observe how Hope's identity as an enthusiastic, vivacious, friendly and approachable teacher is constructed from Shay's interview and how such



constructed identities are seen as much more effective than the teacher's identities who "[follow] a fixed format that imposes on students". Shay's statement, on the one hand, reveals her perceptions about what an effective class and a good teacher-student relationship should be, and on the other hand, implies her evaluation of her previous classes/teachers.

Having arrived at this point in the chapter, we have seen how the teachers deploy humour to positively achieve pedagogical aims and construct their identities, such as being a friend to the students, a witty and approachable teacher. However, as a linguistic resource, humour is not always deployed to create amusement and positive outcomes, as established in the literature. Its function can be very ambiguous which can be demonstrated in the following section where the teachers exploit teasing humour to carry out various complex aims.

### **5.3.2. Teasing humour and the ambiguity of teachers' identities**

It is argued from the previous section that the role of jokes and humour can usefully help the teachers to create a relaxed learning environment, mitigating the negative effects of criticism and evaluation in the classroom. In addition to several humorous treatments of students' mistakes from the previous sections, such as an animated approach to lexical and humorous comments, teasing humour is identified to be a frequent humour type deployed by the participants to deal with situations when students' mistakes arise. Differently from the use of humorous comments, teachers' use of teasing humour offers an interesting perspective to the construction of teachers' identities. The reason for this lies in the fact that the functions of teasing humour are very ambiguous as they "run[s] along a continuum from bonding to nipping to biting" (Boxer and Cortés-Conde, 1997: 279). An example in which teacher's use of teasing humour is perhaps located more towards 'the biting end' can be observed from extract 5.10. This extract captures the moment when Claire checks her students' homework and understands that M has left his homework at home.

*Extract 5.10. Checking homework (Claire's lesson 28/03)*

*(T: Teacher; K: Kai; M: Mark)*

- |    |   |   |
|----|---|---|
| 15 | T | Whose paper is this? (1.5) Whose?           |
| 16 |   | (3.0)                                       |
| 17 | T | no no (.) Whose paper is this? You or Mark? |
| 18 | K | Em  |
| 18 |   | <i>Mine</i>                                 |

- 19 T        Ok where is yours Mark?  
20 M →    Stay at home ((Some students scoff))  
21 T →    It stays at home (.) why? You forget it (.) or it has legs and it ran away  
22           to home ((light teasing tone))

From the beginning segment of this extract, it is observed that the teacher tries to clarify the ownership of one homework paper. Drawing from my observation note, at this point of the extract, all the students are asked to present their homework papers for checking. Claire walks around to check individual paper to see whether or not the student has finished the assigned homework. When teacher arrives at Mark's table, she recognises that a homework paper is left on a table between Mark and Kai. Line 15 is the onset of the teacher's sequence to track the ownership of the homework paper.

In line 19, after Kai announces that the paper belongs to her, the teacher explicitly asks for Mark's paper since it appears that Mark does not have his paper presented, as the other students have done. In response to the teacher's question, in line 20, Mark confirms that he has left his homework at home. The teacher's tease occurs after Mark's statement in lines 21 and 22.

The contrast between Mark's statement and his identity display triggers the teacher's tease in the subsequent turn. Specifically, Mark has committed a *conversational transgression* (Geyer, 2008c) that might have something to do with Mark's lack of willingness to take responsibility for his action of forgetting the homework. Examining Mark's turn in line 19, it is initially observed that it does not contain any sorts of hedges or explanation to minimise his mistake. Furthermore, Mark's turn is structured in a particular way. It does not contain a subject and seems to redirect the focus and assign the responsibility to the homework paper, "stay at home" rather than Mark as the main actor himself. Such a way of framing not only tends to hide away Mark's role as the main actor of the action, but also suggests his non-seriousness with regard to his forgetfulness.

The teacher's tease shows how she displays her authority over Mark by ridiculing Mark's unwillingness to take responsibility for his action. By building on and exaggerating the unrealistic content of her turn in lines 21 and 22 (the homework paper has legs and can run and get away), Claire implicitly delivers the accusatory

messages through her teasing turn. Although it should not be assumed that Mark has not finished his homework and hence using his absentmindedness to get away with it, his claimed identity, as a student who rejects his fault and does not take homework seriously, makes this assumption relevant in the discourse. The tease seems to expose Mark's lack of face of a student who abides by classroom rules (completing and presenting assigned homework) and simultaneously his lack of willingness to take responsibility for his wrongdoing.

In term of teachers' identities, the use of teasing humour in response to the student's behaviours in this extract indexes an evaluative stance, which positions Claire as a tough teacher who is fully aware of student's tricky responses and how to resolve such instances. Through the use of teasing humour, Claire is able to implicitly deliver her accusatory message as well as her disaffiliation with Mark's actions but still maintain a relaxed classroom atmosphere.

Within the classroom settings, there are occasions where the teacher challenges the student's standpoint in order to examine students' ability to elaborate and expand their points of view. Such a situation is potentially a face threat for the students if it is not handled properly. The mitigation of such challenging occasions can be nicely managed with the use of teacher's teasing humour to signal the jokiness and non-seriousness of the situations, as in extract 5.11.

*Extract 5.11. Movie and cinema (Jack's lesson 07/03)*

*(T: Teacher; C: Cole)*

- |     |     |  |
|-----|-----|--|
| 608 | C   | I like watching movie online because when I watching movie at home |
| 609 | T   | Watch  |
| 610 | C   | I have a lot of choose   |
| 611 | T   | A lot of choices   |
| 612 | C   | Choices for me and I think if I want watching uh                   |
| 613 | T   | If you want to watch   |
| 614 | C → | Yes, if I watch movie at home I can save money because most of     |
| 615 |     | people ah most of film online is not copyright film                |
| 616 | T   | OK yes it is available on YouTube                                  |
| 617 | C   | So I must I don't must to pay uh                                   |
| 618 | T   | You must not or you don't need to pay                              |
| 619 | C   | Yes to pay   |
| 620 | T → | Right ok so we just enjoy it without paying, do you feel guilty?   |
| 621 |     | ((Smiley tone)) Do you feel guilty? Do you feel guilty watching    |
| 622 |     | movies without paying?   |
| 623 | C → | No ((teacher and the whole class laugh))                           |
| 624 | T → | All right ((smiley tone))  |

The extract is taken from a conversation between the teacher and Cole regarding Cole's preference in watching movies. When Cole elaborates his personal preference for choosing to watch online films over going to the cinema (lines 608-615), it is noteworthy to pay attention to Jack's correction treatment of the student's errors. Particularly, the teacher produces highly responsive correction strategy of other-initiated other-repair (McHoul, 1990) in most of his turns (609, 611 and 613). At this point of the interaction, the teacher's frequent correction indexes evaluative and epistemic stances and hence positions Jack as an attentive listener and corrector of Cole's performance.

It is also understood from the extract that Cole prefers to watch movies online due to cost matters (from lines 608-619). In line 620, the teacher departs from the repair sequence and initiates his teasing sequence over Cole's preference for watching movies online without paying. According to Geyer (2008c), the reason for a tease to be triggered is normally ascribed to the discursive identities claimed by the recipient of the tease that makes him or her 'teasable'. The teased person has constructed certain discursive identities from "some sort of conversational transgression during the interaction preceding the onset" (Greyer, 2008: 104). In the case of this extract, prior to the onset of the teacher's tease, it is assumed that Cole has constructed certain discursive identities that make him 'teasable'. Specifically, Cole's potentially committed conversational transgression involves his lack of consideration around the morality of 'ripping off' films. Such conversational transgression provides an opportunity for the teacher's tease to take place in the subsequent turns.

Differing from the exaggerated and unrealistic content of the tease in extract 5.10, the tease's content in this extract is realistic, "do you feel guilty watching movies without paying?" Using the overtly evaluative adjective "guilty", the teacher repeatedly asks Cole's opinions on the ethics of this matter. Since this question might involve a potential face-loss outcome for the student, it is noted how the teacher has managed to mitigate such an effect by producing the turn within a joking frame of teasing humour. The teacher's smiley tone of voice indicates a humorous frame beneath which the teacher's challenging and accusatory message exists.

While formulating a challenge and an opposition to Cole's position, the sequence also constructs an alignment between the teacher and Cole which is suggested

through their shared understanding towards the copyright issues in Vietnam. As downloading movies without paying in Vietnam is very common, it becomes an available resource to construct the tease rather than punishing Cole for this unrighteousness of watching movies free of charge. The teacher's comment in line 624 following Cole's unequivocal answer "No" in line 623 suggests such an interpretation. By articulating "all right" with the smiley tone, the teacher shows his dual stance towards this copyright matter. Jack's dual stance toward Cole's issues of ripping off films can be summarised as follows: while his duty as the teacher is to promote students' right doings, Jack is fully aware that demanding Cole to change his action is unrealistic in the society where ripping off films is considered common practice.

The deviation from a repair sequence to a teasing one marks a shift in the teacher's identities. The teacher's identities shift from the attentive listener and corrector to someone who cares about prevailing social issues. The teacher's use of teasing humour performs two activities: challenging and getting the student's opinions, at the same time maintaining existing bonds. The teacher, hence, gives an impression of himself as a critical but easy-going educationist.

The two examples above have illustrated how teachers' teasing humour is used to create humorous frames beneath which the teachers' challenge and accusation exist (Schnurr, 2010). These examples also illustrate the triggers of teachers' teasing humour being the subsequent reactions to 'teasable' discursive identities claimed by the students. By deploying teasing humour to implicitly/explicitly challenge and accuse the students' behaviours, the teachers also position themselves either as a tough teacher or an easy-going educationist, as in extracts 5.10 and 5.11 respectively. While the first two examples are short episodes of teasing humour without the involvement of other interlocutors other than the teaser (the teachers) and the teased (the students), the following two extracts, extracts 5.12 and 5.13 show slight variations in terms of how the tease is constructed and its bonding function.

When the teachers deploy teasing humour, interestingly, it very often seems that a particular student becomes the target of the criticism, albeit still in a fairly relaxed environment, in order to introduce a funny atmosphere (Schnurr, 2011). Extract 5.12 illustrates how teachers make use of tone of voice to signal a teasing frame to a play along with the students. In this particular activity, the teacher divided the students

into two groups. Each group assigns a representative while the rest of the group remain seated. When a description of a job is given, the seated students will discuss and shout out the job title and the representative student will repeat it. If the whole group is correct, that team will earn one point. Extract 11 is taken when the representative of group A (student Brant) fails to repeat and makes his group lose the point.

*Extract 5.12. Group game (Jane's lesson 22/03)*

*(T: Teacher; L: Liv; Ss: other students)*

- 232 T Uhm I am thinking about (.) making some new clothes  
 233 Ss New clothes  
 234 L Tailor (1.0) >tailor tailor<  
 ((the group representative, Brant, does not repeat the word))  
 235 T [Tailor ] Yeah  
 236 L [Đọc đi]  
 236 **Repeat**  
 237 Ss Hihi ((whole class laughs))  
 238 L Nói lại thôi mà cũng không nói (.) chán kinh  
 238 **Repeating after me is that hard (.) I am so disappointed**  
 239 T → Xx dành dập mất thành công của người khác uhm rất là vui ((cartoon  
 240 character tone of voice))  
 239 **Xx ruin other's success uhm so happy** ((cartoon character tone of  
 240 voice))  
 241 Ss Hahaha ((Whole class laughs))

After the job description is given in line 232, from lines 233 to 236, the student quickly discusses and shouts out the word “tailor” to the representative student. However, the representative, Brant fails to repeat the word before the teacher signals time-up in line 237. In line 238, Liv overtly blames her group representative, Brant, and shows her disappointment for Brant's performance. Liv's complaint is quickly taken up and intensified by the teacher's tease in line 239. It is interesting to note that the tease is not triggered by the recipient's preceding turns, as observed from the previous extracts. Specifically, although Brant does not contribute any turn in this sequence, he still becomes the target of the tease. The conversational transgression Brant committed in this extract is perhaps his failure to report his group's answer, which does not correspond with Brant's prescribed identity as the group's representative.

What is more significant in this extract is that the tease takes place right after Liv articulates her disappointment towards Brant. In the subsequent turn (line 239), the

teacher's tease builds on Liv's turn to intensify the consequence of Brant's poor performance by overtly stating that Brant is an obstacle to the success of his team. The tease is recognised by the accusatory quality of Jane's turn, "ruin other's success", her animated dramatized tone of voice and her code-switching to L1. Taking place right after Liv's blame, the teacher's tease serves twofold function. Firstly, it highlights one more time the fact of Brant's inadequate performance, not only as a group representative but also as a student in the class. Secondly, since the action of joint teasing (building on Liv's previous blame) is often encountered in "...informal gatherings of friends" (Schnurr, 2010: 311), the teacher's tease therefore aligns herself as one of the members in Liv's and Brant's teams. The underlying message is that Jane is one of the team members and is therefore frustrated when Brant does not perform well. Although it seems that an explicit reprimand is displayed by the accusatory quality of the tease, beneath such reprimand is a shared understanding and alignment between the interlocutors (the teacher, Brant, Liv and the whole class). This understanding and alignment is attested by the whole class's laughter at the end of the teasing sequence (line 241). The fact that Brant does not give a po-faced response to Liv's blame and teacher's tease makes Brant the key co-constructor of the tease. The fact that Liv, Brant and the whole class recognise and laugh along with the teacher's tease reflects the close teacher-student relationship since the tease might be confused if the interlocutors have not been familiarised with 'what is going on here'. Besides, in order not to overstep the line and cause serious consequences, the teacher needs to be certain of her relationship with the student. Teasing humour is hence a useful discursive strategy to help the teacher to deliver negative feedback and create bonding with the students.

By deploying the teasing humour, the teacher's identity shift is again observed from the extract. The teacher shifts from her professional role by providing cues for students' guessing activities (line 232), announcing the correct answer (line 235) to being like a friend, and a group member, to the students by her use of teasing humour (Holmes and Stubbe, 2003; Schnurr, 2010).

Extract 5.12 has demonstrated how teachers use teasing humour to construct an in-group and friend-like identity with the students. A similar example of a teacher's tease is in extract 5.13; however, the tease is developed over a longer sequence

showcasing various ways in which the teases are constructed. In this extract, the teacher nominates an individual student to read a given English text. The aim of this exercise is to improve students' pronunciation. The extract illustrates how the teacher builds up teasing humour to make fun of a male student for his shyness and hesitation when the class has a female newcomer.

*Extract 5.13. Reading exercise (Hope's lesson 01/04)*

*(T: Teacher; A: Art; L: Lynn; Ss: other students)*

- 1 T Ok louder louder louder (.) Art have you done it at home? cô giáo
- 2 posted on Facebook chưa ạ cả lớp rồi chúng ta chỉ dành 5' để đọc ở nhà
- 3 thôi mà cũng không đọc được "common in:::" ((teacher repeats the
- 4 text))
- 1 Ok louder louder louder (.) Art have you done it at home? **Has the**
- 2 **teacher** posted on Facebook **yet class? It takes only 5 minutes to read**
- 3 **at home and you still cannot read it** c'mon "in:::" ((teacher repeats the
- 4 text))
- 5 (2.0)
- 6 T hình như hôm nay có bạn mới nên là Art xấu hổ đúng không ạ?
- 7 ((Teasing tone))
- 6 T → **Seems like today we have a newcomer so Art is shy right?**
- 7 ((Teasing tone))
- 8 Ss Hihihi ((Class giggles))
- 9 T Are you shy? tự dưng bạn ấy im bất không nói năng gì
- 9 Are you shy? **He is suddenly silent doesn't say anything**
- 10 A hình như là bạn lớp trưởng lớp em hihi ((light giggle at the end))
- 10 **I think she was my class's monitor** hihi ((light giggle at the end))
- 11 T Oh really? "hình như" là thế nào hả Art ((joking tone)) ok primary
- 12 school or::: secondary school?
- 11 → Oh really? **What is meant by "you think" Art** ((joking tone)) ok
- 12 primary school or::: secondary school?
- 13 S uhm::: university
- 14 T So you don't remember face you said "maybe"?
- 15 Ss haha ((class and teacher laugh))
- 16 T How old are you? Even Mr Clark remembers his wife's birthday see?
- 17 So you should learn a lot from Mr. Clark lớp trưởng lớp mình mới học
- 18 đại học xong mà đã quên nhanh thế hả? Hay là không đi học bao giờ
- 19 ((class giggles))
- 16 T How old are you? Even Mr Clark remembers his wife's birthday see?
- 17 So you should learn a lot from Mr. Clark **Your very recent university**
- 18 → **monitor and you have already forgotten? Or was it that you've never**
- 19 → **been to class?** ((Class giggles))
- 20 Ss uhm she uhm his girlfriend
- 21 T → Hah::: ex-girlfriend ((surprising and whispering tone))
- 22 Ss Yes ((class giggles))
- 23 A Just girl friend uhm:::
- 24 T Girl friend or girlfriend
- 25 A Girl friend



- 26 T → Ok so female friend ((teacher giggle)) ok Art calm down calm down  
 27 ((Whole class giggles))  
 28 T Art got some uhm he's shaking or something ok (.) in the early ↑  
 29 (3.0) ((Class giggles again))  
 30 T Can you read? In the early::: yes? That's why I told you to cool (xx)  
 31 T → Xúc động  
 31 ***Emotional***  
 32 A °In the early° ((Art reads the text))  
 33 T → Speechless xúc động không nói nên lời luôn 'in the'  
 33 Speechless ***emotional and cannot say a word*** 'in the'  
 34 A 'In the early 1950 researcher' ((A mispronounced /reseks/))  
 35 T → Resex ah ↑  
 36 Ss haha resex /reseks/  
 37 T → Are you out of your mind? Researchers /rɪ'sə:tʃə/  
 38 T → bắt đầu rồi ấy  
 38 ***Here it comes***  
 39 (2.0) ((Class laughs))  
 40 T → Thần kinh rung rung rồi đấy  
 41 ***Spirit is shaking***  
 42 A Re-researcher  
 /rɪ - rɪ'sə:tʃə/  
 ((A continues reading))

The extract begins with the teacher requesting Art to speak louder. It seems to be the case that Hope assumes Art's failure to read the text loud and clear is due to the possibility that he has not practised the reading task at home "Art have you done it at home?" (line 1). Hope also mentions the fact that she has posted the homework on the class's Facebook group and the reading exercise takes only 5 minutes to do (lines 2 & 3) in order to formulate her opposition. These statements index authoritative and affective stances, which portray Hope as the one in charge and as someone who expects the students to abide by the classroom's rule.

Although the teacher tries to encourage Art to read the text by saying "c'mon" and elongates the first word in the reading text "in:::" (line 3), it is clear that Art again fails to participate. After a two-second gap (line 5), it is observed that the teacher initiated first instance of teasing humour "Seems like today we have a newcomer so Art is shy right?" Similarly to previous extracts, it is interpreted that Art has committed a conversational transgression, which triggers the teachers' tease. Although Art has not uttered any turn by this point, he has failed to display his competence as a student who prepares the homework and delivers it when the teacher asks for it. His lack of competence and unwillingness to participate in the reading activity create discursive identities of a student who is either lazy (has not

prepared the homework) or lacking in confidence relevant in the discourse. Such 'teasable' discursive identities trigger the teacher's tease that is constructed with unrealistic content and a teasing tone of voice in lines 6 and 7. Based on the normative assumptions of behaviours between male and female students in a classroom, Hope suggests that Art's performance is affected by the presence of a new female student. Art is made the target of the tease and the classroom environment seems very relaxed and fun, as seen from the students' giggle in line 8.

The use of teasing humour marks a deviation from the teacher's identities constructed from the beginning of the extract. Evoking an affective stance of playfulness through teasing humour, the teacher establishes and constructs an identity of a friend who is inquisitive and mischievous (Schnurr, 2010).

In line 10, Art initiates his first turn in the teasing sequence. This turn is considered as a response to the teacher's tease. Drawing from Drew's work (1987) that illustrates four response types to teasing humour, Art's turn is seen as his attempt to provide correction to the teacher's tease. By saying, "I think she was my class's monitor" (line 10), Art implicitly rejects the teacher's proposal of his being shy in front of a new female friend. However, in this response turn, Art commits another conversational transgression through his use of the word 'think'. Given the fact that Art has just graduated from university a few months ago, his conversational transgression (not recognising an important friend, i.e. his monitor) results from his failure to display the expected social behaviours of friendship. This incompetence triggers the teacher's second tease (lines 11, 18 & 19) that plays upon Art's claimed discursive identity as an absent-minded person who forgets friends easily.

It is noteworthy to see how the teacher makes a dual tease at both Art and another student (Mr. Clark in line 16). Both these students are targeted in the tease due to their poor memory. While Clark's memory is sarcastically connected to the ability to remember his wife's birthday, Art's uncertainty of acknowledging his old friend is accentuated. Displaying comparison between the two students indexes an evaluative stance, which positions Hope as a close and playful friend who knows the students well enough to a great extent to confidently make fun of their weaknesses.

The teacher's tease has substantially established a gossiping platform which invites other students to join in and discuss the relationship between Art and the new student

as observed in the sequence from lines 20 to 22. It is interesting to see other students in the class build on the teacher's tease and suggest "she uhm his girlfriend" (line 20). The teacher's reaction to this information is significant. Expressing her surprise through elongated word "Hah:::" paired with a whispering tone of voice in "ex-girlfriend", the teacher signals another humorous teasing frame. This tease is constructed similarly to the tease in extract 5.12 in which the tease is built on another students' accusation rather than from the turn of the teased. Up to this point of the extract, the teasing sequence has developed from the teacher's proposal of Art being shy in front of the new classmate to a conjoint tease of a formal secretive relationship between them. By using tone of voice and creating another tease to mode adopt (Attardo, 2001) and participate in the fantasy (Norrick (1993); Chiaro (1992)) suggested by other students, the teacher constructs an in-group, friend-like identity and hence bonds with the students (Schnurr, 2010).

Although Art has again rejected and corrected the proposal of the conjoint tease in line 23 by confirming "just girl friend", due to the ambiguity of the situation, the teacher continues to build on and intensify the tease. Since the tease has progressively connected Art's failure to perform the task with a teasable romantic relationship (Art and the newcomer), the more mistakes Art makes and the longer Art delays doing the task, the more laughter and fun these mistakes and delays will generate. In other words, the tease has established Art's silence as an indicator for laughter. Such connection is attested by the whole class's laughter in the three-second gap in line 29 and two-second gap in line 39. Moreover, we can see an increased level of intensity to sustain the tease from lines 24 to 40. With a number of teasing turns such as "calm down" (line 24); "shaking" (line 26); "emotional" (line 30); "speechless" (line 32) and "spirit is shaking" (line 39), the contents of the teacher's tease gradually increases along with Art's silence (lines 29 and 39) and pronunciation mistakes (mispronouncing the word 'researcher').

Although it is clear that Art only laughs along and does not verbally participate in the sequence (noted from the classroom observation) during the ending segment of the extract, it seems that Art is not sure how to respond appropriately to the teacher's tease. Due to Art's similar response treatment (laughing along and not commenting), the tease is brought to an end from line 40 onward. It is noteworthy that the functions of teasing humour in this extract are not to mitigate the effects of teachers' criticism

as discussed previously in section 5.2.2, rather they reflect a close and intimate student-teacher relationship, similar to extract 5.12. Teachers' teases are used to wittily bring into play the student's lack of competence and willingness and playfully link it to an imaginary romantic relationship in the class. By using teasing humour in such a way, the teacher not only positions herself as a playful and jocular person, but also an in-group/friend-like person who is as inquisitive and curious about personal matters in the class.

#### **5.4. Conclusion**

This chapter aims at investigating how the Vietnamese teachers in this study deploy humour and its correlation with their identity construction. It is shown from the data that humour is frequently used across the lessons and performs various pedagogical and interpersonal functions. Using lexical items, tone of voice, sarcasm, incongruent ideas and norms, the teachers initiate and participate in various types of humour in the classroom discourse. Beside the many pedagogical functions of humour found in the data, such as mitigating the effect of criticism and establishing a relaxed learning atmosphere, humour is a valuable discursive strategy for the teacher to construct their professional identities. The teachers' use of self-disparaging and teasing humour shows some of the processes through which teachers' other, less expected identities, are negotiated and constructed.

Teachers use self-disparaging humour in order to downplay their superior status and demonstrate their 'human' sides (Gorham and Christophel, 1990), such as appearance concerns, life and financial struggles and therefore mobilise friend-like, approachable teachers' identities. Teasing humour seems to be a preferred type for the teacher to either bond or implicitly deliver criticism by targeting an individual student. It is argued that the level of teasing reflects the teacher-student relationship in the classroom. Through the teases, the teachers can perform several tasks, including revealing their playfulness, and constructing in-group and friend-like identities with the students, while at the same time implicitly delivering their criticism.

## **Chapter VI – Teachers’ professional identities and the negotiation of face**

This chapter aims to investigate facework as the third prominent aspect of the teacher participants’ professional identity construction. The reasons for making facework the focus of this chapter firstly lie in its emergence as an interesting theme from the previous two analysis chapters on code-switching and humour. Specifically, it is noted from the data that there are instances where the teachers strategically engaging in code-switching and humour as discursive processes for doing facework. In other words, these discursive strategies are employed as two of the processes that the teachers use to project alignment or opposition to the students’ positioning. And through such projection, teachers can maintain, enhance or attempt to re-establish their face and the students’ face. Since face is “discursively constructed during a particular contact, and closely aligned with the participant's discursive identity” (Geyer, 2008b: 50), the complexity of teacher identity construction is, therefore, explored through some of the discursive processes of face negotiation between the teachers and the students in this chapter. It is argued that by examining the ways teachers do facework, for instance, how they mitigate face threats, enhance the student’s face, defend and re-establish their face loss and so forth, the teacher can simultaneously construct and negotiate not only their professional identities, but also mobilise other personal identities. More specifically, the ways the participants in this study do facework will be investigated with reference to whether such facework attends or does not attend to the students’ face needs.

The analysis begins with examining situations in which teachers do facework that closely attends to the students’ face needs. By attending to the students’ face needs, the teachers’ face and professional identities are negotiated, maintained and strengthened in these cases (extracts 6.1 and 6.2). The remaining extracts (extracts 6.3 to 6.9) look at how facework is done when the teachers’ face and professional identities are implicitly/explicitly challenged and contested by the students. In these conflicting circumstances, by looking at how the teachers do facework, for example whether teachers choose to or not to attend to students’ face needs when maintaining, enhancing or re-establishing their face, can reveal a variety of teachers’ identities.

## 6.1. Attending to students' face needs and teachers' identities

In language education classrooms, some of the teachers' tasks are normally performed and expected, for instance, correcting students' mistakes, giving feedback, assigning tasks and so forth. Regardless of their prevalence and frequency, it is essential that the teachers acknowledge "the students' fear of intimidation, embarrassment, and consequent 'loss of face'" when being confronted and involved in these classroom tasks (Watson, 1999: 355). The issue of face is thereby always a sensitive matter in classroom discourse and hence always in a constant process of negotiation. More radically, it is argued that the ways these classroom tasks are carried out vary from teacher to teacher due to various levels of teachers' attendance to the students' face needs. Particularly, by ascribing to various face categories in ongoing discourse, and through such face ascriptions, the teachers can enhance or threaten students' face thereby constructing their multiple identities simultaneously. The following examples are selected to illustrate teachers' facework that greatly attends to the students' face needs, and in turn portrays various teachers' identities, such as a friendly person who has things in common with the students (extract 6.1) and an approachable teacher who trusts in students' ability and learning autonomy (extract 6.2).

The first extract takes place after a student's presentation on the topic 'your daily routine'. What is particularly interesting about this extract is the way the teacher constructs and conveys the feedback to the student. Particularly, prior to the feedback, an additional turn is added for the teacher to do facework before moving onto her recommendation for the student's performance.

*Extract 6.1. Giving feedback to the students (Jane's lesson 14/03 - 00:10:38)*

*(T: Teacher; M: Mae)*

- |    |     |  |
|----|-----|--|
| 10 | T → | I must say that it's a very nice speech very nice talk about um daily  |
| 11 | →   | routine and um (.) I love it because you said that you loved your job  |
| 12 | →   | and I also love my job so I love someone who loves the job ((smiley    |
| 13 |     | tone))   |
| 14 | M   | Hihi ((Mae giggles))   |
| 15 | T   | Understand? Just kidding however I think there are some problems       |
| 16 |     | with your grammar like I um to check the email you should say to       |
| 17 |     | check email and some problems with the verb tenses and I say that      |
| 18 |     | again that you need to pay attention to your final sounds like because |
| 19 |     | /br'kɒz/ uhu ok but it is  |

- 20 M Best là tốt I think it is best  
 20 Best *is good* I think it is best  
 21 T You did a good job I think that I need to send you some more grammar  
 22 exercises for you to bring ho[me ] for your self-study  
 23 M → [Yeah]  
 24 M → Yeah thank you teacher

If we examine the teacher's turn from lines 15 to 19, it is apparent that a teacher's feedback is explicitly given with regard to different aspects of the student's presentation, such as grammar, verb tenses and final sounds. This turn can be seen as a relevant follow-up response immediately after the completion of the student's presentation; however, it is located after the teacher's compliment from lines 10 to 13. It is noticed that the teacher, before carrying out 'confirmation behaviours' (Turman and Schrodtt, 2006; Ellis, 2000), gives a compliment to the student "it's a very nice speech very nice talk" and then followed by the teacher's elaboration on why she thinks the presentation is good. This overt compliment shows how the teacher positively orients to the student's performance and hence enhances the student's face as someone who performs well in the class. Drawing from Bucholtz and Hall's (2005) positionality principle, by enhancing the student's face, the teacher positions herself and assumes the identities of an evaluator.

More importantly, from lines 11 to 13, the teacher overtly mentions the connection between the student and her: "you said that you loved your job and I also love my job so I love someone who loves the job". By projecting alignment and similarity (Bucholtz and Hall's (2005) adequation and distinction relation, positionality principle), the teacher's compliment and extended turn perform several functions. They not only constitute an endorsement of the student's positive face, but also downgrade the status differences between Jane and the student. Through such a positioning and face establishment, Jane gives an impression of herself as someone who is friendly, close and shares things in common with the student. It also indicates Jane's attending to Mae's face needs of being appreciated and praised.

The teacher's use of humour with a smiley tone (lines 12 and 13) is comparatively different from what had been discussed in the humour chapter (Chapter V) and is more clearly understood with reference to Bucholtz and Hall's (2005) indexicality mechanism. When attempting to project similarity and alignment with the student,

the teacher overtly expresses a rather strong sentiment towards the student “I love someone who loves the job” (line 12). The smiley tone, on the other hand, indexes an affective stance of amusement, which is considered as a counterbalance to the teacher’s strong emotional claim. This correlates with and offers implications for the teacher’s face as a professional and an expert in the classroom. Particularly, by combining a strong sentimental statement with smiley tone, the teacher does facework in such a way that it can be just enough to retain her professional face while at same time getting her social face across. In other words, while her portrayed identities, as someone who is friendly, close and has things in common with the student, are mobilised, her expertise and professional face is not threatened or damaged. Mae’s response in the form of laughter in the following line is considered as reinforcement of the teacher’s face and identity claims.

After giving detailed feedback on Mae’s weaknesses (lines 15 to 19), in lines 21 and 22, the teacher repeated her appraisal, albeit not as strongly as the previous one “you did a good job”, and then suggests what to do for future improvement. The teacher’s use of the personal pronoun ‘I’ (in ‘I think I need’) seems to denote a mutual responsibility between the teacher and the student, which is that both of them are responsible and professionally equivalent in terms of the student’s improvement. This way of framing bridges the gap of power distance between the student and the teacher which helps the teacher to negotiate her expertise and professional face as well as not threaten the student’s positive face. With such face negotiation, the teacher’s professional identities, as someone who is involving, responsible and caring about the student’s progress, are also constructed. The student’s responses in lines 23 and 24, agreeing and showing appreciation for the teacher’s suggestion (lines 21 and 22), indicate the student’s reinforcement of the teacher’s face and identity claims.

This first example shows how the teacher attends to the student’s face needs by doing facework to enhance the student’s face and to strengthen the relationship between the interlocutors. Doing facework that attends to the student’s face needs can show not only how the teacher’s professional identities but other personal identities are constructed and reinforced. Furthermore, such teacher’s facework helps



to motivate and create an encouraging and supportive learning environment as confirmed by Finn's interview data (a student in Jane's class):

Interview extract 6.1. Finn's impression about Jane's class

“Trong lớp cô Jane thì hình như là không có áp lực gì về học hành, mọi người có thể hoà đồng, hỗ trợ lẫn nhau, vừa vui chơi vừa học tập...nói chung là học ở lớp Claire rất là thích”

***“I don't have any learning pressure in Ms Jane's class, everyone in the class is friendly and supportive. We can study and play at the same time...in general I like Ms Claire's class very much”*** – Finn, a student in Jane's class.

Similarly, extract 6.2 demonstrates a situation where the teacher does facework to attend to students' face needs during managing tasks in the classroom. Differently from extract 6.1, facework done in this extract spans a longer stretch of talk and more implicit than the first extract. As observed from this extract, both the students' and teacher's face and identities claims are in harmony, maintained and enhanced. Moreover, by attending to the students' face needs, the teacher's identities, as someone approachable and who trusts in students' ability and learning autonomy, are also constructed.

The extract captures the conversation between Joy and her students in a post-listening Q&A activity. What is significant about this activity is that the questions are played on the tape recorder with pre-recorded native speakers' voices. Usually, the teacher is the one who asks follow-up questions and tests the students' comprehension. The students, therefore, are required to understand the questions and at the same time need to think of a correct answer. Since the task is carried out differently, the teacher provides an explanation for this amendment and involves the students in managing homework, which is the main content of extract 6.2.

*Extract 6.2. Leading, guiding and co-managing tasks (Joy's lesson 15/04 - 00:35:53)*  
(T: Teacher; S: Sia; D: Drew; Ss: other students)

- 70 T Nói chung có rất nhiều cách để trả lời nhưng mà cái phần này bởi vì  
71 phần trước tôi chưa gửi cho các bạn (.) nếu các bạn cảm thấy tôi show  
72 trên lớp thôi các bạn cảm thấy cần thiết và thú vị tôi sẽ gửi thêm phần  
73 này nữa bởi vì cái phần này là phần chuyên đặt câu hỏi và trả lời thế  
74 là khi bạn nghe cố gắng nghe xem người ta hỏi cái gì  
70 ***Generally there are many ways to answer these questions but for this***  
71 → ***part because I haven't sent you (.) I only show this in class but if you***

72 → *feel that it is necessary and interesting I will send you this part as*  
73 *well because this part is only for questions and answers where you*  
74 *have to try to understand the question*  
75 Ss ((Students discuss)) (1.0)  
76 T cố gắng trả lời (.) trả lời trước rồi hẵng khi mà mình nghe câu hỏi  
77 mình soát lại sau đó mình xem cái câu trả lời của mình nó có đúng hay  
78 không (.) không nhất thiết (.) tôi nói là không nhất thiết phải trả lời  
79 100% chính xác từng từ trong đây  
76 *And try to answer (.) answer first and when we listen to the question*  
77 *we can check it one more time to see whether our answer is correct*  
78 *or not (.) it is not necessary (.) I think it is not necessary to get a*  
79 *100% exact word-by-word answer*  
80 S Vâng  
80 → *Yes*  
81 T Nhưng mà cái cốt lõi ví dụ bạn phải nói trả lời yes hay no là phải  
82 chính xác và cái reason nó phải chính xác còn cái cách diễn đạt nó có  
83 thể khác [nhau] ok có cần-  
84 Ss [Vâng]  
81 T *However the key thing for example yes or no questions have to be*  
82 *answered correctly and the reasons have to be correct while the*  
83 *expression can [vary] ok do you need-*  
84 Ss → [Yes]  
85 S Cô gửi (.) cái này khó (.) cái này hay  
85 *You send us (.) this is hard (.) and interesting*  
86 D Càng nhiều càng ít (.) cô ạ  
86 *The more the less (.) teacher*  
87 S Nghe đặt câu hỏi xong tự mình đưa ra trả lời  
87 *Listen to the questions and then we can give our answers*  
88 T Đúng rồi còn um cái này bởi vì nghe trên lớp cái phần này nó rất là  
89 mất thời gian  
88 → *That's right about um this part as it is very time-consuming to listen*  
89 → *to this during the lesson*  
90 S Vâng  
90 *Yes*  
91 T Thì lên trên lớp mình sẽ chỉ đặt câu hỏi của mình và các bạn sẽ các  
92 bạn phải hiểu các bạn phải trả lời được (.) còn cái này các bạn tự luyện  
93 ở nhà nha OK?  
91 *During the lesson we will only ask our questions and you all will*  
92 *need to comprehend and be able to answer (.) while the other part*  
93 *you can self-study OK?*  
94 Ss Vâng ạ  
94 → *Yes*

The extract starts with the teacher code-switching to elaborate on the reason why the Q&A section is not included as a part of the homework that the students are given prior to the lesson. The teacher's use of the personal pronoun 'I' in line 71: "I haven't sent you" and "I only show this in class" shows that this decision of not including this exercise in the homework is her own responsibility. In line 72, with

the use of conditional sentence type I, the teacher seems to survey the students' need regarding whether or not they want this section to be included as a part of the homework. By involving the students in the decision-making process about homework, the teacher projects acknowledgement of the student's competence and autonomous learning, which enhances the students' face. It indexes an affective stance of thoughtfulness that mobilises the teacher's identities as a teacher who is not imposing but is willing to take into account the students' perspectives.

The students' face is further enhanced owing to the teacher's repeated use of the personal pronoun 'we' that indexes joint enterprise. From lines 76 to 84, the teacher continues to elaborate on the procedure of how the new type of listening and Q&A exercises can be done and justified. During these turns, the teacher's recurrent use of the personal pronoun "we" is significant as it signals in-group membership (Uzum, 2013) which downgrades the status differences and positions the students and the teacher similarly with regard to solving the task in question. By positioning the students and the teacher as capable and competent equivalents, the teacher can not only reduce the demand of the task but also enhance the students' positive face.

In addition to the enhancement of the students' face, the teacher also displays and constructs her expertise face with a shift in personal pronoun. In line 78, in response to what can be considered a valid answer, the teacher changes to the personal pronoun 'I' to explicitly express her view. The shift in pronoun use here highlights the teacher's face and professional identities as an expert who understands how an answer can meet the requirement for such a task. The teacher's face, on the other hand, is not directly imposed but gradually negotiated as we observe from lines 81 to 83. These turns are the expansion of the teacher's claim "I think it is not necessary to get a 100% exact wording answer". The teacher's attempt to explain and provide a reasonable guideline is regarded as her way to establish and enhance her face and professional identity as the expert. Under Bucholtz and Hall's (2005) indexicality mechanism, this approach of discussing and justifying her suggestion indexes a certain level of both epistemic stance and affective stance, which portrays the teacher as the expert in the matter but one who wants to co-construct the knowledge with the students rather than imposing it on them.

It is apparent that the teacher's negotiated face is enhanced and maintained since all of the teacher's turns are responded to with "Yes" from the students, to display agreement in lines 80 and 84 (Luke and Tanaka, 2016). Furthermore, the students react positively to this new form of Q&A for listening tasks, such as Sia and Drew's agreement in lines 85 and 86 to include the Q&A in the homework. Sia's reiteration of the teacher's explanation of the task procedure in line 87, is another way to display the student's agreement and thus enhances the teacher's face and identities as the expert.

Upon the closing of this extract, from lines 88 to 94, the teacher provides the reason for the omission of the Q&A task due to its time-consuming characteristics (lines 88, 89) and ratifies the final decision for comprising this task into the students' homework (91-93). The fact that the teacher provides the rationale for her decision regarding the classroom's task helps the students to understand why such an interesting activity (Sia's commentary) is not initially included. By providing the rationale for such a decision, the teacher negotiates her expertise face, which indexes both an epistemic stance and the identity of the expert in classroom task management as one who is trustworthy and carefully plans the lesson (Bucholtz and Hall's (2005) indexicality principle). The teacher's face and identity claims are continuously supported and strengthened from the students' approval in lines 90 and 94.

These first two examples have analysed cases of teachers' facework and their identity construction in situations where the interlocutors' faces are in harmony and no significant face resistance is observed. It is evident that, regardless of the role they play in the classroom, teachers' face and identities are still in a constant process of negotiation and construction. Even in situations where the interlocutors' face is not overtly challenged or contested, the teachers still attend very closely to the students' face needs in order to maintain a positive learning environment and manage classroom rapport. It is also evident in these extracts that by doing facework, which maintains and enhances the students' face needs, the teachers also maintain their own face and construct their identities, either as someone who is like a friend to the student (having common interests) or someone who is thoughtful and empowering of students. The idea of minimising the gap between teachers and

students to empower the latter in the classroom is also expressed in other teachers' interview data, such as those of Hope in her following statement:

Interview extract 6.2. Hope's interview data

I've always told my students that "I am not here to teach, I am here to guide, I am here to help as a partner, as a mentor, whatever you think of me". I try not to put out the word 'teach' because that will create a gap between teachers and students.

Thus far this section has demonstrated how facework is done in the classroom discourse and how teachers' facework that attends to students' face needs can result in a very positive and encouraging learning atmosphere. The following section will demonstrate the variety of teachers' facework and by doing facework in such way a wider range of teachers' identities are negotiated.

## **6.2. From maintaining/enhancing to challenging/threatening – different levels of attending to students' face needs and teacher identities**

As established in the previous section, maintaining and attending to students' face wants are prominent in a classroom context for a positive and supportive learning environment. Previous examples have demonstrated how teachers carry out facework that pays close attention to students' face needs and how certain positive teachers' identities are mobilised when facework is done in such ways. The examples in this section, in contrast, show various levels of teachers' attending to students' face needs, particularly when teachers' face and identities are challenged and contested. On the one hand, examining these instances can provide insights into the discursive processes involved in order to negotiate, reinstate or re-establish teachers' face and identities. These discursive processes can reveal the level of teachers' attention to students' face needs during these facework instances. On the other hand, understanding facework done in conflicting situations can help us realise what triggers teachers' facework (what makes them feel face threatened and having lost face) and the interconnection between students' behaviours and different levels of damage to teachers' face.

### 6.2.1. Maintaining and re-attending to students' face needs

Extract 6.3 is selected as one of the first examples to demonstrate how the students in classroom discussion can challenge teacher's face and professional identities where there are conflicting ideas on certain matters. Jane in this extract responds to students' potential face threat by redirecting negative identities oriented towards her and hence conveys her message and maintains the students' face at the same time. The extract takes place during a whole-class discussion on the advantages and disadvantages of being a teacher.

*Extract 6.3. Discussing to achieve shared understanding (Jane's lesson 27/03 - 00:45:38)*

*(T: Teacher; D: Diya; L: Leen; K: Kim; M: J: Jo; C: Chase; Ss: other students)*

- 90 T What I like most about my job is that I can feel young when I teach (.)  
 91 young people because it's a lot of fun and secondly I love my job  
 92 because I have a very flexible time  
 93 Ss Flexible (.) flexible↑  
 94 D Thời gian linh hoạt flexible  
 94 **Flexible timing** flexible  
 95 T Flexible time it means that if I don't have any class at school (.) I can  
 96 stay (.) at home and prepare the meal or um do some housework  
 97 D Yes  
 98 T And three I::: I only have (0.5) classes at my university (.) in the  
 99 morning (.) in the morning so I can spend all the afternoon at home  
 100 D So you get um::: more  
 101 L Hihi ((Leen giggles)) More này là more gì?  
 101 Hihi ((Leen giggles)) what **this** more **is about**↑  
 102 T More what↑ ((smiley tone))  
 103 D Um you um::: you think you will um get additional wage?  
 104 T Additional↑  
 105 D Wage (.) kiểu như là làm thu nhập thêm um::: besides your salary  
 105 Wage (.) **like addition income** um::: besides your salary  
 106 Ss Hahaha ((whole class laughs))  
 107 T You mean some part-time jobs  
 108 D Additional  
 109 T → Yeah but actually it's the (.) it's a little bit difficult for me because  
 110 → (1.0) to have (0.5) to have a lesson for two hours at class-in class and I  
 111 → have to spend a lot of time to prepare the lesson (0.5) yeah make the  
 112 lesson plan so it takes time ok how's about (.) disadvantages (0.5) You  
 113 know that right↑  
 114 D Ah:::  
 115 L Say-speak a lot  
 116 D So you will um::: have um::: neck um no  
 117 T Sore throat  
 118 D Sore throat  
 119 T Sore throat yeah I have some problem with my voice because I have to

120 speak (.) too much  
 121 L Too much↑  
 122 T Yeah  
 123 D Sore throat  
 124 T Actually I often lose my voice and last year I had to go to Hanoi city  
 125 nine times a year for treating that  
 126 D Um  
 127 K Chữa↑  
 127 **To treat**↑  
 128 T Um huh so:::: maybe health  
 129 L Sức khỏe  
 129 **Health**  
 130 T What else↑  
 131 K Còn gì nữa  
 131 **What is more**  
 132 J Khó tính đến lớp học khó tính ((smiley tone))  
 132 **Strict being strict at class** ((smiley tone))  
 133 K Khó tính hihi ((Kim giggles))  
 133 **Being strict** hihi ((Kim giggles))  
 134 T → I mean that a low salary  
 135 D Low salary  
 136 K Hihhi ((Kim giggles)) không chấp nhận (xxx)  
 136 Hihhi ((Kim giggles)) **not accepting** (xxx)  
 137 T → If only teach at school very low if you want to earn more money you  
 138 have to do  
 139 C Dạy thêm  
 139 **Extra teaching**  
 140 T Yeah you have to teach extra classes.

The extract can be divided into two main sections. While from lines 90 to 113 is the discussion on the advantages, the remainder of the extract focuses on the disadvantages of being a teacher. From the beginning of the extract, the teacher provides some of her own opinions on the advantages of working as an English teacher. By linking the job with phrases such as “feel young”, “a lot of fun”, “flexible time” and the personal pronoun “I”, the teacher explicitly mentions the benefits of being a teacher from her perspective. There is a shift from personal identities, as someone who is sharing and reflecting on her job is shifted to the expert of knowledge, as the teacher provides the explanation for the word “flexible” in line 95. The teacher’s face, as well as her personal and professional identity claims as an expert, up to this point of the extract, are maintained and enhanced since there are no disagreements or dissimilarities noted from the sequence.

In lines 100, 103 and 105, Diya directly poses a question on one aspect of the teacher's working life, her income, developing from the teacher's claim of her flexible timing from the previous turn. Diya is curious to know whether or not the teacher earns additional money with part-time jobs due to the teacher's flexible time. This can potentially pose a negative threat to the teacher's face because this type of question encroaches into personal and sensitive matters. The laughter of the whole class in line 106 after Diya's question in line 105 demonstrates how such a question can be challenging but potentially damaging to the teacher's face. Moreover, by asking such a question, Diya is creating an implication that the teacher is in an advantageous position where she can have several jobs and hence might earn additional wages. In response to such identity claims assigned to her, the teacher counters Diya's negative implication by specifying and clarifying the time-consuming nature of her teaching job. Specifically, in line 109, the teacher, responds with the abrupt juxtaposition of "yeah" and "but" which are not used in simple agreement but rather act as discourse structuring devices (House, 2013) leading to the teacher's contradiction of the student's implication. After that the teacher makes reference to the process of making a lesson plan and the time-consuming nature of this process to support her retaliation. By clarifying her working conditions, the teacher implicitly positions herself as different and distant from the identity formulation that the student orients to her (Bucholtz and Hall's (2005) positionality principle). Furthermore, by shedding light on how much preparation work is needed prior to lessons, the teacher seems to redirect and regain the face and professional identities of a hard-working and dedicated teacher who spends a great amount of time in lesson planning.

Comparably, the indirect rejection of student's orienting to certain face and identity claims is also noted towards the end of the extract from lines 130 to 140. In response to the teacher's question of listing the disadvantages of being a teacher, in lines 132 and 133, Kim suggests a negative quality, in this case 'being strict'. Uttered with smiley tone of voice, Kim strategically frames this negative quality as non-serious in order to avoid negative consequences (subversive humour, Schnurr *et al.*, 2016). The teacher implicitly does not build on this potential face-threatening claim. There is no specific direct rejection or unusual silence by the teacher; however, in line 134 the teacher uses 'I mean' to direct the sequence towards her idea and gives further



elaboration in lines 137 and 138. Her orientation towards the disadvantages of low income for teachers is supported and enhanced by the agreement of Chase in line 139, which successfully omits the suggested negative identities proposed by Kim and Jo in previous turns. The teacher's face and professional identities of someone who cope with the difficult aspects of a teaching job, such as health and finance issues, are negotiated and established.

Extract 6.3 demonstrates one of the examples where the students' resistance is relatively explicit, yet the teacher chooses a quite 'soft' way of doing facework, such as indirectly rejecting the undesired identities suggested for her, responding with clarification rather than unmitigated face threat or challenging the students' faces in return. With such a way of positioning herself (Bucholtz and Hall, 2005), the teacher is able to negotiate her differences but at the same time maintains the relationship with the student.

The previous extract has demonstrated how the teacher does facework to avoid face-damaging consequences when conflicting ideas between teacher and students emerge on a certain matter. Similarly, the next extract offers an interesting snapshot of facework done to manage opposite views, between Joy and a group of students, on a social issue. Through the debate sequence, we can observe how the teacher negotiates face and concurrently constructs her professional and personal identities. What makes this extract different from the previous extract is that instead of doing facework indirectly to avoid face-damaging consequences, the teacher, Joy, in this extract adopts quite direct and challenging facework. However, I argue that the effects of such direct and challenging facework are not as destructive, by virtue of the interactional context in which this extract takes place, and in addition through the way the teacher addresses the students' questions and challenges throughout the debate.

The extract occurs during a discussion of the advantages and disadvantages of 'being single and getting married'. The extract captures the debate between the teacher and a group of students who support 'married life' and how the teacher develops her argument and establishes her face and identities of a person who prefers 'being single' to 'getting married'.

*Extract 6.4. Debate on certain topic (Joy's lesson 10/03 – 01:00:04)*

*(T: Teacher; W: Wan; F: Ford; S: Sri; G: Gabe; Ss: other students)*

- 55 T Why do you like married life?  
56 W Uhm yes in if in married I can share uhm my uhm troubles in work  
57 with my husband and when I Uhm I can come home I can see my baby  
58 yes I feel uhm uhm uhm::: free  
59 T Comfortable  
60 W Yes yes  
61 T Agree with her?  
62 (3.0)  
63 T → I don't think so I don't think so ok when I have stress in my job ok I  
64 can share with my friends (.) or my parents (.) ok my close friends that  
65 xx we can go to café drink a cup of beer drink-a cup of coffee  
66 W Have another way to uhm to uhm:::  
67 T So yeah I mean I have a lot of ways to reduce stress I don't need  
68 family  
69 W Oh yeah but uhm (2.0) can you give  
70 T Haha  
71 F What do you do if all your friends busy with their family?  
72 T → I can go the BAR:: (.) I can go to the pub I can go everywhere that I  
73 like  
74 F But you know the bars in here in Vietnam cannot open all the time  
75 T → >No↑<  
76 Ss No::: [:: ] ((some students support the teacher))  
77 F [after] you feel tired you [must be come back home]  
78 T → [And even just some ] you know  
79 go to a (0.5) café myself ok drink a cup of (.) tea or COFFEE and then  
80 I can forget everything (.) I think so  
81 F But after you must be come back home and you can only see you  
82 alone  
83 T → Yeah when I come back home I feel very >how to say< comfortable  
84 because I-I uhm I don't (.) you know be troubled by another people (.)  
85 I can go uh:: to my bedroom have good sleep I am ok however  
86 imagine that you have uhm wife husband or children so when you  
87 → come home you have to take care of them even you are very CRAZY  
88 yeah but you have to take care of them ok and children (.) they are-  
89 → they (.) CRY ALL THE TIME ok so what happens?  
90 F Some people said that taking care of family is [happy ] I-I feel happy  
91 T [Uh huh]  
92 when I take care of them  
93 T Just in peaceful time I think so (0.5) the children play well (0.5) ok the  
94 husbands uhm I mean don't go out drink beer too much or something  
95 like [that ] so you have a peaceful life and you feel happy but  
96 S [yeah]  
97 sometimes (.) it doesn't  
98 S Yes  
99 F So when I take care my child I think about::: uhm in last time (.) my  
100 parents take care of me like that  
101 G I think it is my happiness

- 102 T → Your happiness↑ ((smiley tone))  
 103 Ss Happiness ((smiley tone))  
 104 T Even you have headache (0.5) you feel happiness (.) you feel happy?  
 105 ((smiley tone)) ((class laughs))  
 106 G I take care of my child is my happiness (.) in life  
 107 T → uhm huh really↑ uhm huh ((teasing tone))  
 108 G It is easier to uhm:: become a good man  
 109 T → Good man:: ((smiley and teasing tone))  
 110 Ss Really↑ (0.5) really↑ ((teasing tone))

The debate sequence starts with the teacher-initiated question in line 55 to get students from the opponent group to elaborate on their opinions of the advantages of married people. After Wan details how being a married person can be both less lonely and free (lines 56 to 58), in line 59, the teacher provides a vocabulary cue to help Wan with her expression due to the elongated sketch of “uhm::” in line 58 indicating the student’s struggle with vocabulary. By doing so the teacher’s face and professional identity claims as the expert are negotiated and even enhanced owing to Wan’s agreement “yes yes” in line 60. However, other identities seem to emerge from the teacher’s turn in line 63. After inviting other students’ responses to Wan’s idea and a three-second pause, in line 63, the teacher explicitly expresses her disagreement with Wan. In contrast with Wan’s opinions of married people having a comfortable life and someone close to share things with, the teacher points out that such feelings can easily be achieved by hanging out with close friends or parents. By disagreeing with Wan’s idea and providing her rationale for her disagreement, the teacher’s face and professional identity claims shift from someone who is guiding the learning process to personal and social identities of someone who is playing devil’s advocate.

In the sequence from lines 63 to 82, we can observe how the teacher’s ideas are being challenged by the students from the opponent team and the discursive strategies the teacher adopts to defend her face and personal identities. For instance, when Wan and Ford conjoin to challenge the reasonability of the teacher’s idea in lines 69 and 71, the teacher responds to this challenge by suggesting another solution with a certain word uttered loudly “BAR::” to strengthen her argument (line 72). Moreover, it is noted that she directly rejects Ford’s argument with an unequivocal “No” in line 75. This kind of reaction might be seen as potentially face-threatening to Ford; however, the rejection is uttered very quickly and followed by the teacher’s

long turn (lines 78, 79 and 80) to address Ford's scenario. Such an approach to address Ford's challenge indexes an affective stance of fairness and mutual respect, which thereby positions Joy as a fair debater who engages in a meaningful debate with the opponent students. Such fairness and respect are indexed through the way in which the teacher provides sufficient evidence and rationale for her points of view rather than overriding Ford's challenges with imperative rejection. The environment of the debate is therefore competitive but is engaging thanks to the fair and respectful manner, which is not face threatening regardless of the challenges and rejections between Ford and Joy. Such an environment facilitates students from the opponent team to continue to actively participate in the debate, which can be observed by Ford's third attempt to challenge the teacher's standpoint in lines 81 and 82.

In response to Ford's third attempt to challenge, by linking the teacher's choice with a negative consequence of being "alone" (line 82), the teacher gives a relatively long response (from lines 83 to 89) to firstly convert Wan's imposed state of being 'alone' to a stage of being 'comfortable'. Secondly, the teacher adopts Ford's approach to similarly create a situation to challenge the counter team with the disadvantages of being a married person, such as taking care of husbands/wives and coping with a crying baby. The strategy of uttering some words louder than the surrounding speech is likewise used to highlight and dramatize her points. In this long turn, the teacher defends her points and teases out the drawbacks of Ford's positions; she also reverses her position from being the defender (Joy answers the opponent teams' questions) to the attacker (Joy poses challenging questions to the opponent team). In terms of identity construction, drawing from the strategies that she used to position herself differently from her opponents, the teacher negotiates and reinforces her identities of being a tough competition for the opponent team.

The shift to being the attacker entails the teachers' changes in her facework when commenting on opponent students' answers. Particularly, examining the remainder of the extract from lines 86 to 109, we can observe different strategies that the teacher uses to explicitly challenge and discard student opponents' ideas. For example, when Ford and Gabe attempt to develop their argumentative point (addressing Joy's question in 86-89) that taking care of the family is happiness for

married people, the teacher implicitly shows her disagreement by repeating Gabe's word, "happiness" with a smiley tone of voice. In lines 104 and 105, she again deploys a challenging situational question, which this time is formulated within a teasing frame indicated through Joy's smiley tone of voice. Through this question, the unrealistic aspect of Gabe's answer is implicitly pinpointed, which in turn challenges Gabe's face and identity claims of being a family-oriented person who views taking care of his family as his happiness. The tease is further developed in subsequent turns. In line 107 Joy utters "really↑" and "uhm huh" in a teasing tone to jokingly challenge Gabe's statement "I take care of my child is my happiness in life". Similarly, following Gabe's turn in line 108 "it is easier to become a good man", in line 109 Joy repeats Gabe's face claim 'good man' with a teasing tone of voice.

Joy's tease in this extract shares similarities with teasing examples in Chapter V. On the one hand, it is assumed that there is something 'teasable' in Gabe's turn, which triggers the teacher's tease. In particular, Gabe's positive face claim of being a dedicated man for his family is linked back to the whole class's shared understanding of Gabe being single and inexperienced with regard to married life. Therefore, Gabe's viewpoint seems unrealistic and lacks evidence to be persuasive enough for the teacher and the counter team. On the other hand, given the context of this debate, Gabe's viewpoint is further seen as too idealistic for typical Vietnamese families, which often characterise Vietnamese men as the 'breadwinners' who are often too busy with their job and earning money to spend time with the family. Although the teacher's tease might be perceived as face threatening to Gabe, the ways teasing humour is used to construct the debate discourse is still within the acceptable boundaries of this classroom (indicated by classroom observation). For that reason, the teacher's tease (supported and conjoined by other students) in this case does not have as severe impact on Gabe's face as it might appear. Moreover, taking an affective stance of jokiness through the use of teasing humour, Joy evokes a particular aspect of her identities, being someone playful and a mischievous debater.

As a brief summary of extract 6.4, to convey dissimilarities and to challenge her components, Joy uses some strategies such as, uttering words louder, redirecting

negative face and identities claims, reversing the position of defender/attacker, laughter, and a teasing tone of voice to negotiate her opposed message while simultaneously managing face. These strategies play a role in challenging the opponent students' face and their related identity claims to construct the debate discourse in the classroom. By adopting such strategies to show her opposition, the teacher also constructs her face and personal identities, as a tough competitor in the debate who effectively defends her views and maintains a positive rapport between herself and the students from the opponent team.

Similarly to extract 6.4, the next extract illustrates how an overt face challenge is directed at the student (hence the teacher initially does not attend to the student's face needs) in order to maintain the teacher's face and identities as the one in charge. Although the students' face needs are not attended to initially in order to maintain and reinforce the teacher's face and identities, this extract is still included in this section as the teacher's attempt to re-establish the student's face and identities is noted towards the end of the extract.

It is also observed in this extract that the student's defence and resistance to the teacher's accusation span a longer sequence. Consequently, to remedy the potential damage caused by students' resistant behaviours, the teacher chooses to do facework more critically. That is because the intensity of the teacher's direct rejection of students' accounts progresses along the sequence. The extract occurs during the early stage of the lesson where the teacher carries out homework checking. The extract revolves around the discussion between the teacher and Han on what is considered as satisfying answers for the assigned homework.

*Extract 6.5. Discussing what is an appropriate answer for homework (Hope's lesson 30/03 – 00:02:52)*

*(T: Teacher; H: Han; E: Em)*

- 30 T Chúng ta đã trả lời các câu hỏi chuẩn bị chưa ạ (0.5) Do you prefer to  
31 wear casual clothes or formal  
30 → ***Have we prepared all the answers*** (0.5) Do you prefer to wear casual  
31 clothes or formal  
32 H (xxx)  
33 T Why it is so short (.) trả lời câu hỏi đâu rồi  
33 → Why it is so short (.) ***where are the answers***  
34 H (xx) idea  
35 T No idea↑  
36 H Câu hỏi trả lời theo ý của mình thôi

36            ***The answers are created according to my own ideas***  
37 T        Trả lời câu hỏi đâu?  
37            ***Where are your answers***↑  
38 H        Dạ↑  
38            ***Yes***↑  
39 T        Trả lời câu hỏi ở trên-  
39            ***Answering the above questions-***  
40 H        Ý là trong đây em trả lời luôn ấy ví dụ như là cái câu mà-  
40 →       ***I meant in here I also gave the answer, for example the sentence-***  
41 T        Đâu↑ ‘I prefer to’ ((teacher prompts the answer))  
41            ***Where***↑ ‘I prefer to’ ((teacher prompts the answer))  
42 H        Bạn đã từng (.) bạn đã từng  
42            ***Have you ever (.) Have you ever***  
43 T        Yes (.) uniform của mình là gì↑  
43            Yes (.) ***what is your*** uniform↑  
44 H        Thì em đưa ra theo những cái từ mới của em viết các từ vào  
44            ***Then I gave the answers according to my new words***  
45 T        Nhưng mà mình không trả lời câu hỏi  
45 →       ***But you haven’t answered the questions***  
46 E        Tóm lại là vẫn 10,000 ((student chuckles))  
46            ***Still lose 10,000 eventually*** ((student chuckles))  
47            (2.0)  
48 T →    Well you know (1.0) let’s just follow the rules  
49 H        Đây cũng là trả lời mà cô  
49 →       ***These are also answers teacher***  
50 T        No (0.5) câu hỏi cô giáo post lên là gì nhờ has-did you used to wear  
51            uniform at school at university at work describe them mình phải  
52            describe them (.) is it black shirt white shirt pencil skirt or suit and tie?  
53            Uhm what else do you prefer to wear work uniform or casual clothes  
54            like jeans  
50 T →    No (0.5) ***what is the question I*** post has-did you used to wear uniform  
51            at school at university at work describe them ***we have to*** describe them  
52            (.) is it black skirt white shirt pencil skirt or suit and tie?  
53            Uhm what else do you prefer to wear work uniform or casual clothes  
54            like jeans  
55            (2.0)  
56 T →    Thank you Han ((smiley tone)) he-like I notice that recently you behave  
57            very well (.) your manners are improved (.) your manners improve

The sequence starts with the teacher signalling a homework-checking section by her question in line 30. Line 33 marks a potential problem when the teacher questions the shortness of Han’s answers. With the quality of his answer being questioned, Han’s face and identity claims as a good student who finishes his homework is potentially challenged. In response to the teacher’s question, in line 36, Han explains the ideas behind his short answers; however, his explanation does not satisfy the teacher. This results in the teacher’s repetition of her question addressing Han more explicitly “where are your answers?” The repetition of questions indexes an

evaluative stance, “displaying the speaker’s opposition to the prior speaker’s perseverance of the action” (Park, 2011: 1931), demonstrating how Bucholtz and Hall’s (2005) indexicality principle operates. The teacher’s repetition adds a further negative impact to Han’s face in front of the whole class and hence challenges his identities as a student who has done his homework. At the same time, by challenging the student’s resistance, the teacher’s face and identities claims as the expert, who knows how the task can be done properly, is negotiated and maintained.

The sequence of teacher challenging – student defending pattern stretches till line 45 with an increase in the level of intensity. For example, although Han tries to explain with examples to prove that his answers are qualified, regardless of their length, the teacher in lines 41 and 43 interrupts to repeat the correct format of the answer, starting with “I prefer to...” In line 44, in response to the teacher’s constant disqualification of his homework, Han repeats his reason. Using the discourse marker “but” the teacher explicitly shows her dispute and argument with Han’s position, “but you haven’t answered the questions”. The unmitigated face-damaging statement indexes an evaluative stance (Bucholtz and Hall’s (2005) indexicality principle), which portrays Han as a student who does not understand the task and has not finished the homework properly. Such a positioning threatens Han’s face and puts him into an unfortunate situation of paying a fine for his wrongdoings. In this particular classroom, if the students fail to follow classroom rules, such as coming to class late or do not complete homework, they are obliged to pay a classroom fine of 10,000 Vietnam Đồng (Vietnamese currency). The reinforcement of this rule is observed in line 46, when Em joins the sequence between teacher and Han. Using teasing humour, Em highlights the unfortunate outcome of Han’s resistance to the teacher by saying, “*Still lose 10,000 eventually*”.

The teachers’ explicit face-damaging statement (line 45) in conjunction with Em’s teasing turn (line 46) add a further negative impact to Han’s face that seems to elicit Han’s two-second silence in line 47. After a second and a half pause without receiving any defence from Han, using a pause filler ‘well’ (Trihartanti and Damayanti, 2014) with hedges ‘you know’ the teacher in line 48 initiates her turn to conclude Han’s case “Well you know (1.0) let’s just follow the rules”. Interestingly, Han in the sequential turn (line 49) explicitly resists the teacher’s suggestion by



pointing out that his answers should have been considered appropriate. Showing his opposition confidently, Han attempts to reinstate his face and at the same time poses a potential threat to the teacher's face and challenges her related identities as the expert and the evaluator. This face threat is addressed with a strong form of disagreement "No" from the teacher followed by a relative long turn to clarify what a proper answer should have been (line 50). By rejecting the student's resistance and reinforcing her decision with a detailed explanation of how the homework questions should have been answered, the teacher clearly distances Han's opinions from what is expected. This indexes epistemic and authoritative stances, which reinstate the teacher's face and construct the teacher's identities as the expert, the one in charge and the main decision maker in the class (Bucholtz and Hall's (2005) indexicality principle).

During the two-second gap (line 55), noticing that Han's compliance with what the teacher's request (by paying the fine for not completing the homework appropriately), the teacher gives Han a compliment on his behaviour (lines 56-58). The teacher's compliment at the end serves to remedy any potentially negative impacts on the student's face from the previous encounter (Schnurr and Chan, 2011a). This indexes an affective stance and thereby establishes the teacher's identities as someone who is concerned about the relationship with the student (after the dispute).

The three extracts in this section have demonstrated how the teacher does facework with regard to classroom tasks, such as facilitating classroom talk/debate, handling homework and exercises. It seems apparent for situations such as extracts 6.3, 6.4 and 6.5 that the level of teachers' attending to the students' face needs varies in conflicting situations. It can range from soft reactions, such as indirect rejection, question repetition, providing clarification for selected position, reformulating potential face-damaging claims and teasing humour (extracts 6.3 and 6.4), to more determined reactions, such as challenging and unmitigated statement, and direct rejection followed by face-softening devices (compliments) (extract 6.5). It is observed from extract 6.5 that a student's resistance to the teacher's face and identity claims, as the authority and evaluator, seems to trigger the teacher's face work. Moreover, the more contested attitude the student has, the less attentive the teacher is

to the student's face needs. In order to maintain their face and identity claims, the process of teachers' doing facework can become complicated and requires them to adopt different approaches to doing facework and construct identities in an ongoing discourse. Although the teacher challenges the student's face to maintain her own face and identity claims in contested situations, as observed in extract 6.5, the teacher can again attend to the student's face needs to remedy any negative impacts from her previous encounters (by giving the student a compliment).

### **6.2.2. Disregarding students' face needs and the (re-)establishment of teachers' face and identity claims**

The extracts in the previous section have revealed how teachers resolve potential conflict situations and manage facework that, to a certain extent, still maintains and attends to the students' face needs. The following sections examine instances where classroom conflicts are handled by the teachers' deployment of a more face-damaging approach, such as verbal threats to challenge and threaten students' face and identity claims. Doing facework without considering students' face needs in these instances is seen to serve to maintain, enhance and re-establish teachers' face and identity claims.

Extract 6.6 illustrates how the teacher's professional identities, as a straightforward teacher who strictly maintains classroom's rules and regulations, are constructed and negotiated by doing facework that attends little to students' face needs. Extract 6.6 takes place during the class's noughts and crosses game where the students are divided into two groups (groups A and B) of five to six students. In order to earn their noughts and crosses in the game, each team has to take a turn and give a correct answer to a given question or task. In this extract, group A was requested to sing an English song and Neil self-nominated to fulfil this task. The extract captures the conversation between the teacher and Neil following his singing where Neil is probed to further describe the content of the song.

*Extract 6.6. Giving instructional comment (Jane's lesson 14/03 - 01:26:24)*

*(T: Teacher; N: Neil; V: Vonne)*

- |    |   |   |
|----|---|---|
| 25 | T | What's the song about (.) what's the song about |
| 26 | N | Song about love                                 |
| 27 | T | About love                                      |
| 28 | V | Love  |

29 T About love ok um  
 30 (1.0)  
 31 T Explain (0.5) for it  
 32 N Um:: the song (.) the song is bắt đầu lúc mà lên thánh đường  
 32 → Um:: the song (.) the song is *started when a couple enters the church*  
 33 T Uh  
 34 N I think-  
 35 V Church church beautiful in white  
 36 T → Đang học tiếng anh hay tiếng Việt?  
 36 *Studying English or Vietnamese?*  
 37 N → Hihi ((Neil chuckles))  
 38 (2.0)  
 39 N → That song um played in weddings  
 40 T Yeah yeah that's right it is played in weddings it's about love (.) ok  
 41 thank you next

The extract begins with the teacher's initiated question to facilitate a co-constructed sequence (lines 25 to 29) to establish a shared understanding of the genre of Neil's song. After a second pause, in line 31, the teacher asks Neil to further describe the content of the song by requesting, "explain for it". It is noted that although Neil's response in line 32 serves to address the teacher's request, it is not completely answered in English. Neil's answer is considered to be a violation of the classroom's rules and hence potentially poses a threat to the teacher's authority face. Line 36 is a clear indicator of how the teacher views Neil's code-switched answer as inappropriate with a rhetorical question "studying English or Vietnamese?" Rhetorical questions (RQs) are questions that do not require answers, or seek for information, but rather are to "display a source of strong assertion" and perform a range of challenging actions (Cerović, 2016: 21). It is obvious that the teacher asks this question without expecting the student to pick either English or Vietnamese to study. Instead the question puts emphasis on the shared understanding of the classroom's purpose that Neil is doing the opposite of. The teacher's RQ thus performs several actions. Drawing from Bucholtz and Hall's (2005) adequation and distinction relation, it firstly positions Neil as an outsider to the shared classroom purposes. It hence challenges Neil's behaviour of using Vietnamese in the classroom, which potentially causes damage to Neil's face. Secondly, the teacher's use of an RQ without any mitigation also indexes an affective stance of seriousness, dissatisfaction and strictness (Bucholtz and Hall's (2005) indexicality principle).

This hints at the possibility of facing more serious consequences if Neil does not adjust his language in the coming turns.

Drawing from my observational notes, it seems clear that the teacher's RQ seems to have a negative impact on Neil's face and the classroom atmosphere (Neil looked embarrassed). This negative impact can be observed in the extract by Neil's laughter in line 37, followed by a two-second gap. Neil's use of laughter here can be linked to "the use of laugh for saving one's face" (Çiçek Başaran, 2013: 83). The teacher's authority and face are re-constructed as Neil has code-switched back to English in line 39. By adjusting his behaviour, Neil orients his face and identities to a student who obeys the teacher's request, so the teacher's face and identities, as the one in charge, are re-established and maintained. The shift in Neil's behaviour also brings the sequence back to IRF.

Extract 6.6 has illustrated how face work can be done swiftly through the teacher's interruption. Also through this extract, further discussion can be drawn from the teacher's facework approaches when we compare the facework in this extract with the one in extract 6.1. While both extracts 6.1 and 6.6 have demonstrated the construction of teachers' face and professional identities' claims as the authority/ the expert through providing feedback, other teacher identities are also portrayed according to their different approaches to the face negotiation. While the teacher in extract 6.1 adopts a facework approach that promotes alignment and similarity by acknowledging the student's effort in giving feedback and enhancing the student's face, the teacher in extract 6.6 adopts a more face-damaging, straightforward approach that is tightly driven by the classroom's rules. Therefore, while the teacher in extract 6.1 give an impression of herself as a friendly and considerate teacher who encourages the student for improvement, the teacher in 6.6 represents professional identities as someone for whom goals and classroom rules need to be firmly established and maintained.

Extract 6.6 demonstrates how the student's linguistic behaviours can easily trigger teacher's facework and how the teacher produces facework that does not attend to students' face needs to re-establish the classroom rules. The following extract similarly shows the trigger of teachers' damaging facework; however, this time the facework occurs not because of a student's unfavourable linguistic behaviours.

Rather, facework happens when a student explicitly shows opposition to the teacher's idea and personal perspective. What is significant in extract 6.7 is that a weaker and shorter form of student's resistance seems to cause considerably more damage to the teacher's face and identities. In response to that face threat, the teacher in turn does facework that threatens and damages the student's face in order to reinstate and re-establish her own face and identities. Also in this extract, we can observe a longer sequence of teacher's facework, which differs from one-turn facework, as in extract 6.6.

The extract takes place after some students' short presentations on 'hobbies and activities in free time'. The teacher, after giving her feedback, takes the opportunity to give the students advice on learning English. The extract captures how the teacher reacts and does facework when the student shows disagreement and contradiction to the teacher's advice.

*Extract 6.7. Defending face and identities claims by challenging students' face and producing long following turns to implicitly assign negative face to the student (Claire's lesson 09/03 – 01:21:27)*

*(T: Teacher; L: Leo; Y: Yaz; D: Daisy)*

- 90 T You should like it as a-something you like to do in your free time not  
91 kind of a subject that you have to learn (.) tức là bạn phải thích nó nó  
92 là cái gì đó cũng giống như bạn thích ăn bạn thích ngủ (.) bạn thích  
93 shopping (.) thì tôi thích English (.) its my favourite thì bạn phải biến  
94 nó thành sở thích thì sẽ không ai bắt bạn làm được và bạn sẽ (.) bạn  
95 sẽ có 1 động lực bạn học bởi vì tôi thực sự tôi thích nó không ai ép  
96 đc tôi (.) ở cái độ tuổi này rồi chẳng ai ép được bạn Leo đi học đúng  
97 không ạ? bởi vì bạn thích nó phải không? Do you like English?
- 90 T You should like it as a-something you like to do in your free time not  
91 kind of a subject that you have to learn (.) ***It means you need to like***  
92 ***it just like you love to eat (.) you love shopping (.) and I love***  
93 ***English (.) its my favourite you have to make it your hobby only***  
94 ***then no one can force you and you will (.) you will have a***  
95 ***motivation for studying because if I actually don't like it no one***  
96 ***can force me (.) at this age no one can force Leo to go and study***  
97 ***right? Because you like it right? Do you like English?***
- 98 L Yes
- 99 T Do you like English?
- 100 Y Yes
- 101 T Bạn nào không thích tiếng Anh không ạ?  
101 ***Anyone here doesn't like English?***
- 102 D → Hihi ((Daisy chuckles and gently nods her head))
- 103 T Ok tại sao không thích lại ngồi đây ạ?
- 103 → Ok ***why still sitting here while you don't like?***

104 (3.0)  
 105 T Right (.) chúng ta sẽ quay lại cái đầu tiên là có động cơ thúc đẩy  
 106 chúng ta có động cơ (0.5) nếu mà bạn-nếu mà chị học chị học nhanh  
 107 hơn nếu mà chị sẽ thích nó nếu mà chị thích nó thì chị sẽ học nhanh  
 108 hơn (1.0) patient (xx) it takes time no pain no gain (.) không có khổ  
 109 luyện không thành tài không đau đớn thì không thể thành công  
 105 T Right (.) *we will turn to the first point which is having the*  
 106 → *motivation to encourage us* (0.5) *if you-if you learn you learn*  
 107 → *faster if you like it and if you like it you will learn faster* (1.0)  
 108 → patient (xx) it takes time no pain no gain (.) *there is no talent*  
 109 → *without hardship and there is no success without pain*

From the beginning of this extract, we can observe a long turn initiated by the teacher from lines 90 to 97. There are several explicit identity claims that the teacher constructs and negotiates during this long turn. By encouraging students to take up English as a hobby, the teacher stresses the importance of considering learning English as something enjoyable, rather than a compulsory subject. From her standpoint, by doing so the students can gain tremendous benefits. Taking herself as the example by stating that she is a lover of English (lines 92 & 93), the teacher highlights the accomplishment of adopting such a method to study English. Besides, she also constructs identities of someone who is determined and hard to be influenced “if I actually don’t like no one can force me”. In line 96, the teacher seems to orient this identity claim to the students by getting Leo’s opinion, “at this age no one can force Leo to go and study right?” The teacher’s face and identities negotiated here are not only someone who is in charge or an authority, but also an educationist and an inspirer.

While the teacher’s face and identities are supported by Leo and Yaz’s agreement in lines 98 and 100, line 102 is when Daisy indicates opposition. This rejection causes damage to the teacher’s face and identity claim constructed from previous turns. By revealing that she is not a lover of English, Daisy not only provides a dispreferred second part to the question “Anyone here doesn’t like English?”, Daisy also implicitly opposes to the method of taking up English as a hobby that the teacher had promoted in earlier turns. Daisy’s uncooperative behaviour may be perceived as contesting the teacher’s face and her identity claims as the expert, educationist and inspirer. The level of face damage can be observed via examining the teacher’s response in the following lines.

Specifically, the teacher poses an unmitigated question addressing Daisy to challenge the reason why Daisy joins this English class (line 103). The student's disagreement is directly linked to her existence in the classroom, which displays how strongly the teacher reacts to the student's different viewpoint. The teacher's question carries its implicative relation between loving English and being in the class. Particularly, this class is aimed at students who love English, not for those who do not. Her question therefore critically threatens Daisy's face and challenges Daisy's viewpoint and eligible status to attend this English class. Framing such a question to challenge the student's face, the teacher positions Daisy differently from the rest of the class, it also signals the teacher's orientation of disdain towards Daisy for having such an opinion (Bucholtz and Hall's (2005) positionality principle). Raising the presence of Daisy in the class also indexes an authoritative stance, which positions the teacher as a powerful person in the classroom (indexicality principle, Bucholtz and Hall, 2005).

After a three-second gap, it seems that the teacher is returning to her lecture; however, in line 106, after a half second pause, the teacher returns to Daisy, this time directly giving Daisy advice on the value of hard work and patience in learning English. Claire's self-initiated self-repaired pronoun in line 106 makes Daisy overtly the target of her advice. It is notable that Claire changes from pronoun "bạn" to "chị" in her turn, "nếu mà bạn-nếu mà chị" ("if you-if you", line 106). Whilst the pronoun "bạn" in Vietnamese is used to address second person singular or second person plural, similarly to the pronoun 'you' in English, "chị" refers to a female person who is older than the speaker. Drawing from my observation note and information provided by Claire, it is certain that Daisy is the oldest student in Claire's classroom. Therefore, Claire's use of Vietnamese pronoun 'chị' locates exactly to whom her advice is directed.

Examining Claire's turns from 106 to 109, the teacher seems to credit Daisy with not having several needed qualities to study English, for instance, "***you learn faster if you like it and if you like it you will learn faster***" implying that Daisy needs to like the subject to learn it faster; "***patient***" (Daisy might not be patient enough) and "***is no talent without hardship... no success without pain***" (Daisy perhaps does not work hard enough to learn English well). Indexicality can be used to explore and

analyse identities constructed by Claire. In particular, by orienting Daisy's face and identities with those statements, the teacher implicitly assigns negative face and identity claims to Daisy. It also indexes an epistemic stance, which re-establishes the teacher's face and identities as the expert, who understands the nature of studying a foreign language.

Claire's unmitigated and face-threatened reaction in this extract seems to be incongruent with what she had expressed in the interview. When being asked about instances of disagreement and conflict between teachers' and students' ideas, Claire stated that:

#### Interview extract 6.3. Claire's follow-up interview

I don't mind if I have different ideas from my students; we can give other sides, I mean two sides of an issue. So each person has different ideas about things and we should appreciate it.

What we can imply from Claire's interview data is that Claire positions herself as a fair and open-minded teacher when situations, such as different viewpoints and perceptions between teachers and students, emerge in the classroom. However, the analysis of teacher's facework in extract 6.7 has demonstrated that teachers' identities can be discursively constructed and influenced by the context. Claire's perception of her identities, as an open-minded teacher (as expressed in the interview), does not become relevant, but the identity construction of a more powerful person in the classroom is constructed through her unmitigated and threatened facework. Interestingly, it seems to be the case that the sense of being the knowledge expert, the authority and the main person who controls the classroom, is transparent in another part of Claire's interview data:

#### Interview extract 6.4. Claire's follow-up interview

I am trying to be friendly in my class but at the same time I want to gain respect from the students. Students must respect teachers because of their knowledge and their experience. Although I try to be friendly, they need to know that I am the teacher, I am the person in charge and I am the person to tell them what to do and they have to follow it. If I am too friendly, let's say just like their friends, and I ask them to do something, they go like "hahaha you are just my friend, I don't do that."



As indicated from interview extract 6.4, in Claire's opinion, regardless of a friendly atmosphere in the classroom, it is still necessary for her students to be aware of her crucial role as the teacher ("the person in charge"; "the person to tell them what to do and they have to follow"). Perhaps it is due to this specific perception of the teacher's role and identities that leads to Claire's critical facework approach to Daisy's uncooperative behaviour in extract 6.7.

Extract 6.7 has demonstrated a weak form of student's resistance to teacher's face and professional identity claim, yet its negative impact on the teacher's face and identities are more significant. It is evidence from this extract that the teacher can adopt a very direct and unmitigated approach when doing facework to re-establish and reinforce the teacher's face and professional identity in response to uncooperative behaviours.

This section has analysed examples of how teacher's face and identity claims are resisted and contested and some of the discursive processes that the teachers adopted to reinstate and re-establish their face and professional identities. Drawing from the analysis, it is noted that the teachers do facework differently depending on the context when the interaction unfolds. The way teachers negotiate their face and the student's face can be linked to the identities they orient to themselves and others. What is significantly drawn from the facework of these teachers is the variety of ways adopted to do facework. Depending on the relevant face concerns that might emerge from the context, teachers can correspondingly carry out either mitigated or unmitigated facework to construct, reinforce or re-establish their face, thereby constructing theirs and others' identities.

In the previous examples, although the level of face resistance in each example varies, it is evident that the teacher's face and professional identities are eventually reclaimed and re-established, which is indicated by the students' various responses in the extracts. For example, the students might comply with the teachers' expected behaviours (extract 6.6) or remain silent and no further challenges are posed for the teacher (extract 6.7). There are cases where the teachers deploy similar or even more critical facework to maintain and reinforce their face and professional identities; however, those attempts at facework do not achieve similar results. Such situations will be illustrated in the following section.

### 6.2.3. Disregarding students' face needs and failed attempts to re-establish teachers' face and identity claims

Keeping students co-operative is one of any teacher's classroom management skills. Although this task is seen as a common activity in classrooms, it can be potentially face damaging for the students if the teachers adhere precisely to the lesson plan and their expectations, while not attending to the students' face needs. The level of face involved in maintaining the pace of the lesson and activities is manifested through the ways the teachers negotiate face to adjust the students' behaviours to the goals of the lesson. Through such lesson navigation, since it comprises students complying with what the teachers expect, facework is essential for the teachers to manage classroom tasks and at the same time maintain a supportive learning environment. As seen in the following extract, Joy deploys an unmitigated facework to alter students' behaviours through which she attempts to foreground her identity as the one in charge who controls classroom activities.

The extract takes place after a students' group discussion and the teacher is asking individual students to volunteer. The extract captures how the teacher manages and moves the students' activities, from discussing with their group members to presenting their ideas in front of the class. This extract also shows the various approaches of teaching doing facework when it involves resolving conflicts between what the teacher plans and the reality of the classroom.

*Extract 6.8. Getting student concentrated and engaged (Joy's lesson 18/05 – 01:06:35)*

*(T: Teacher; Ss: the whole class)*

- |     |     |   |
|-----|-----|---|
| 203 | T   | All right thanks thanks (0.5) volunteers                              |
| 204 | Ss  | (4.0) ((Class continues to talk in groups))                           |
| 205 | T   | Volunteer (1.0) volunteer (0.5) raise your hand (.) come here and     |
| 206 |     | share your ideas (0.5) share your ideas                               |
| 207 |     | (1.0)   |
| 208 | T   | Volunteer (1.0) c'mon   |
| 209 |     | (2.0) ((Classroom are still discussing))                              |
| 210 | T → | HEY (0.5) look at me (.) listen to me (.) volunteer ((serious voice)) |
| 211 |     | (1.0) ((The whole class is completely silent))                        |
| 212 | T → | BIG chance for you to practice speaking c'mon (1.0) c'mon ((the tone  |
| 213 |     | turns to a bit smiley and softer))                                    |
| 214 |     | (3.0)   |
| 215 | T → | No volunteer? If you come here and you can speak out (.) 20.000       |
| 216 | →   | Vietnam Dong (2.0) you don't respect your teacher right? You          |

217 → KNOW (.) but you didn't raise your hand c'mon (1.0) no volunteer?  
 218 (3.0)  
 219 T I need a volunteer  
 220 (2.0)  
 221 T Nash  
 222 (3.0)  
 223 T Who is Nash  
 224 (4.0)  
 225 T Oh my god c'mon buổi ngày hôm sau các bạn chuẩn bị cho tôi um  
 226 hôm trước cô Mei cũng chưa (.) cho thảo luận về cái topic kia đúng  
 227 không nhờ  
 225 → Oh my god (.) c'mon *the coming lesson you prepare for me um the*  
 226 → *previous lesson Ms Mei hadn't let (.) you discuss that topic right?*  
 227 →  
 227 Ss Uhm có  
 227 Uhm *yes*  
 228 T đề nghị các bạn về luyện nói 3 cái topics (.) ngày hôm sau ta sẽ nói  
 229 tổng hợp tôi cho các bạn bốc câu hỏi nói tổng hợp buổi hôm sau  
 230 không đọc bài nữa (.) chỉ cho luyện nói thôi (.) dạo này rất là lười nói  
 228 rồi OK  
 229 *You have to practice these three topics at home (.) in the next lesson*  
 230 → *I will let you pick a random topic in the next lesson there won't be*  
 231 *reading practice (.) only speaking (.) very lazy recently* OK

What is significant from this extract is that the teacher deploys a rather critical and unmitigated facework in order to alter the students' behaviours; however, such critical facework does not result in changes to students' behaviours. Instead, it creates a sudden shift in the classroom environment. Since the students do not respond positively to the teacher's face challenges, it is observed that the teacher abandons the critical facework approach and gradually deploys a less critical one.

In the beginning segment of the extract, specifically, from lines 203 to 208, we can observe the trouble source that triggered the teacher's facework. The transition from discussion task to presentation task is marked with the discourse marker 'all right' followed by teachers' thanks for the students' engagement in the discussion and her initiation for presentation in line 203. The teacher has continuously asked for a volunteer to do the task; however, her request for a volunteer is repetitively sent without obtaining any responses from the students (lines 203, 205 and 208). Drawing from the observational notes of this class, at this particular point of the lesson, due to the nature of students' discussions, which is normally noisy and chaotic, the teacher's request for volunteers was not properly heard and hence resulted in the students' extension of the discussion. However, the unfilled part of the students in

the question-answer adjacency pair is apparently seen as uncooperative behaviour and as a challenge to the teacher's face and her professional identities.

The students' continuation of their discussion (lines 204, 207 and 209) seems to be considered as uncooperative and perhaps disrespectful behaviour towards the teacher's authority thus causes damage to the teacher's face as the one in charge. The teacher's strong reaction in line 210 demonstrates her face negotiation in order to put her aim across. Using "HEY" loudly and imperative sentences such as "look at me" "listen to me" in conjunction with her serious tone of voice, it seems apparent that the teacher adopts a critical and serious approach to show her dissatisfaction with the students' behaviour. These unmitigated requests are deployed, as a result of her failed attempts from previous turns, to challenge the students' face and reinstate her role as the authority. This indexes an affective stance of seriousness (Bucholtz and Hall's (2005) indexicality principle), which portrays the teacher as someone strict and the authority in the classroom. It is noted that the teacher's reaction seems to make an impact on the whole class environment as all students suddenly stop speaking, as seen in line 211.

This serious and authoritative orientation from line 210 is soon replaced with a relatively softer face negotiation as observed from lines 212 to 217. After a one-second pause of complete silence, the teacher in the following turn uses a softer tone of voice and provides the benefits of participating in her task. A softer approach here seems to remedy the potential negative effect that might have occurred due to her previous critical reaction. Nevertheless, her face and identity claims as the authority are seemingly not supported by the students since there is no noteworthy change in their cooperation. Instead of having the discussion, the class keeps silent and still does not respond to the teacher's request. It is argued that the students' silence has been established as a pattern to challenge the teacher's authority and her role as the one in charge (lines 218, 220, 222 and 224). Nevertheless, it is interesting to notice that instead of adopting the strong and critical approach, as in line 210, the teacher appears to adopt a "carrot and stick approach" (Guilloteaux and Dörnyei, 2008: 57) as a softer solution in response to this silence, such as offering rewards for students who volunteer (line 215) or repeating her wish to have a volunteer (line 219) and assigning the task to a particular student (223).

Upon the closing of this extract, there seems to be another attempt at doing facework to reinstate the teacher's expertise face and professional identities. After her request for Nash to be the presenter is left unanswered, the teacher gives a comment "Oh my god" (line 225) to indicate her disappointment. Additionally, the teacher seems to align with the students' uncooperative behaviour by postponing the unfinished presentation task till the coming lesson and shifting the topic to what had been taught in the last lesson. The teacher's action is considered as an alternative to risking even greater face loss. By choosing to align with the students and put off the problem to another day, the teacher re-establishes her authoritative face and negotiates her identity as the one in charge. Moreover, using a final strong evaluative flourish in line 230, "*very lazy recently* OK" to end the whole lesson, the teacher's use of "very lazy" evokes an evaluative stance, which helps to reinforce and strengthen the re-establishment of her authoritative teacher's face and identity as being the one in charge.

As seen in extract 6.8, the students' uncooperative behaviours can be considered disrespectful and therefore seriously threaten Joy's face which subsequently leads to her unmitigated facework to re-establish her identities (i.e. using imperative sentences and uttering words loudly). As opposed to the friend-like and approachable teachers' identities established in earlier chapters, this section has so far demonstrated other aspects of the participants' identities where facework is concerned. Differing from minimising the gap between teachers and students, there are still certain expectations (or face needs) that the teachers expect from their students, such as following the teacher's request (as in the case of extract 6.7) or showing respect as in Hope's following interview data:

Interview extract 6.5. Hope's initial interview

Students when they speak like currently to me, I will try my best to say "What? Who are you talking to?" so they have to put the subject "you" so they cannot give me a command or talk without subjects. So when they speak in a currently manner then I do try my best to polish up their English and I say that "this is just for the purpose of speaking English because when you speak like that to a foreigner they will not appreciate it. So the same thing goes for me and I never put myself like out as a teacher because I am your teacher so you have to speak to me in this way" but no. I just think we have mutual respect for each other. "I call you Mr, Mrs, madam, gentlemen so I do respect you in a certain way so I do expect the same thing in return" but it is still hard because they think

of me as a friend, sometimes I am too friendly and I cannot...and it is out of control.

As indicated from Hope's interview data, certain students' behaviours, such as "giving command" and "talking without the subject", can be interpreted as lacking in respect for the teacher. It is interesting to notice how Hope resolves those situations by adopting a mitigated facework (providing long turns to explain and re-establish face). What is significant in Hope's interview data lays not only in her desire to have respect from the students, but also hints at a certain level of identity tension that she encounters. This tension is apparently created from the friend-like and approachable teachers' identities constructed in the classroom ("they think of me as friend", "I am too friendly), where students' linguistic behaviours associated with such an impression of friend-like teacher's identities do not align with those expected for other teachers' identities such as, the teachers as the authority and the knowledge expert. Extracts 6.7 and 6.8, in conjunction with supplementary interview data, have demonstrated not only how these teachers do facework but also revealed several tensions and conflicts within Vietnamese teachers' identities. While these identities' tensions and conflicts will be discussed in more detail in Chapter VII (discussion Chapter, p. 193), the analysis of facework using classroom interaction and interview data have certainly provided interesting insights into the relationship between these teachers' perceptions of their identities and their deployment of linguistic repertoires within specific classroom instances.

While extract 6.8 shows how the teacher's face and identity claims are challenged by the student's silence and uncooperative behaviours, extract 6.9 is an example of how a teacher's challenge might result in, to a certain extent, overstepping the boundaries, and how the teacher remedies the damages and attempts to re-establish his face and professional identities.

This extract takes place during the discussion between teacher and Emily about a good friend's qualities. The extract takes place after Emily has completed sharing her ideas about a good friend's qualities and moves on to the beginning of a post-presentation's questions and answers where the teacher initiates.

*Extract 6.9. Teacher-student discussion (Jack's lesson 01/03 – 00:56:25)*

*(T: Teacher; E: Emily)*

387    T            Ok very good (.) So you don't like someone (.) you don't like

388            someone who often talks bad behind your back↑  
 389    E        Yes (0.5) true friends never did that  
 390    T →     Yeah what about you↑ ((Smiley tone))  
 391            ((Whole class laughs))  
 392    T        Do you sometimes talk bad behind your friends↑  
 393    E        Sometimes I um  
 394    T        You talk yeah (.) you talk bad  
 395    E        I am not a liar  
 396    T        You are not a liar (.) So you think it is not good right↑ (.) It is not a  
 397            good habit to talk bad about people  
 398    E        Just some time  
 399    T        Just some time↑  
 400    E        Yes  
 401    T        How many times a day↑ ((Whole class laughs)) How many times a  
 402            day↑  
 403    E        The day↑  
 404    T        How many times a day (.) One day (0.5) How long, how long do  
 405            you spend↑ (1.0) How much time do you spend talking bad↑  
 406    E        One minute  
 407    T →     One minute (.) are you sure↑ One minute or one hour↑ One minute  
 408            or one hour make sure one minute or one hour  
 409    E        15 minutes  
 410    T        15 minutes (.) Everyday 15 minutes (.) So from tomorrow please  
 411            stop doing that (.) Spend 15 minutes learning English  
 412    E        Yeah  
 413    T        Ok↑ If you want to talk bad about someone (.) talk bad about me in  
 414            English (.) but in English ((joking tone))  
 415    E        Every girl  
 416    T →     Every girl↑ No my wife doesn't  
 417    E        Are you sure↑  
 418    T        I am sure  
 419    E →     I don't think so  
 420    T        You don't think so but I know (.) Ok kidding just kidding (.) next  
 421            one (.) what's about you Alice↑ You have a lot of friends↑

What is noticeable in this extract is the way the teacher challenges Emily's face and perhaps jokingly orients identities of a gossip, an unreliable person and a liar to Emily by constantly posing potentially face-damaging questions to challenge Emily's viewpoint. When obtaining Emily's explicit identity claims, as someone who has certain standards about true friendship and does not like talking behind people's backs (line 389), the teacher, in the subsequent turn, challenges this claimed identity by asking, "what about you↑" This question is challenging; since talking behind one's back is not considered a good friend's quality for Emily, the teacher's question poses a potential face lost situation if Emily admits that she also talks behind someone's back. Such a trick question triggers the whole class's laughter in

line 391. Getting Emily's answer admitting that she also "sometimes" gossips about others (line 393), the teacher in line 394 implicitly challenges Emily's face and identities claimed, which have been established in the previous turns. This indexes an evaluative stance which positions and orients Emily's face and identities as a gossip, whose strong claims and action do not correspond; at the same time, it constructs the teacher's interpersonal expertise face and identities as someone who knows best (Bucholtz and Hall's (2005) indexicality principle).

Defending her face, Emily overtly rejects the particular identity category of a liar (line 395). By positioning herself in opposition to that identity category, Emily attempts to reinstate her face and identities as a truth teller. The teacher, nevertheless, continues to use RQs to "[issue] a challenge, not a request for information" (Cerović, 2016: 22), to highlight the moral wrong of gossiping behaviours in order to confront Emily's face and identity as a gossip in lines 396 and 397. By variously framing the student's behaviour as morally equivalent to wrongdoings, such as "is not good" (line 396) "not a good habit" (line 397), the teacher claims an expert face and professional identities of an educationist (Bucholtz and Hall's (2005) adequation/distinction relation). Moreover, the student's positive face claim of being a truth teller was also challenged and debunked by the teacher. In line 401, the teacher questions and rejects Emily's answer of her gossip duration. The rejection of Emily's answer of "one minute" and questioning Emily's claimed face and identities of the truth teller, index an epistemic stance which positions the teacher's related identities as an expert and who knows the truth (Bucholtz and Hall's (2005) indexicality principle). The teacher also orients his face and professional identities to an educationist when he overtly requests Emily to change her behaviour; "stop doing that", "spend 15 minutes learning English" (lines 409, 410) that potentially cause damage to Emily's face because such requests assume Emily's identities as someone who does morally wrong actions.

In lines 412 and 413, after obtaining Emily's acceptance on following the advice, with the use of a smiley tone of voice and encouraging Emily to take him as the target for Emily's gossip, the teacher employs humour to remedy the potential damage that might have occurred during his request. In line 414, however, Emily argues by referring her gossiping habit as a universal one, which every girl does and hence tries to re-establish her face and identities. The teacher contests Emily's view



by taking his wife as an exception (line 415) to defend his face and identities as the educationist. It is interesting to see how the student overtly challenges the teacher's face claim by asking a confirmation question "are you sure↑" (line 416). More interestingly, Emily seems to orient the face and identity claim of 'a liar' to the teacher by saying, "I don't think so" in line 418. The student's threat to the teacher's claim results in the teacher defending his claim, "you don't think so but I know" in line 417. After that the teacher frames the sequence as humorous and not serious by saying, "Ok kidding just kidding" which indexes an affective stance of non-seriousness to avoid further confrontation and to sweep away the negative impact of the discussion between him and Emily. The teacher quickly in the same turn nominates the next student to start a new sequence.

As demonstrated in this extract, the reinforcement and construction of the teacher's face and professional identities are developed on a quite unusual premise in comparison to previous examples. Particularly, Jack continuously disregards the student's face and claimed identities. By overusing face-damaging questions to assign negative face and identities to the student, the teacher concurrently establishes his positive face and professional identities. Such a way of doing facework can easily fall into the trap of overstepping the boundaries and getting the backlash effect as was observed in extract 6.9.

### **6.3. Conclusion**

This chapter has looked at instances of the emergence of face concerns in the classroom discourse and the construction of teacher's identities in relation to how they conduct facework in those situations. As illustrated from the examples, the teachers, in both non-resisting and contesting situations, do facework. In non-resisting situations, what can be gleaned from the analysis is that teachers use strategies to downgrade the status difference by giving compliments, using long turns for clarification to attend to the student's face needs and hence mitigate potential face-threatening effects of classroom tasks, such as giving feedback (extract 6.1), or assigning homework (extract 6.2). Attending closely to students' face needs by enhancing their face and identities facilitates learning and maintains a positive rapport between teachers and students in the classroom. Moreover, other less expected teachers' identities are also mobilised through teachers' attendance to the students' face needs, such as a friend-like person who share things in common with

the student (extract 6.1) or a fair and motivating teacher who empowers and encourages students' autonomy (extract 6.2).

In addition to facework done in fairly harmonious interactions, the analysis has also demonstrated instances of facework conducted in conflict situations between teachers and students. Instances of such conflicts and disagreement that occurred in the classroom discourse lead to an understanding that even in classroom settings, where the participants' roles and identities are defined, it is not always the case that the teachers' face and identity claims are always maintained and enhanced. It is also in these instances that the teachers' facework can be closely examined to see how the teachers react and their approaches to facework, which can be linked to their positioning of their and the students' identities.

The analysis indicates that teachers' facework in conflicting situations ranges from maintaining to challenging and disregarding the students' face needs. Situated on the 'soft' end of the continuum, the teacher chooses to move away from face-threatening topics and not challenge the students' face and identities claims (extract 6.3). The teacher can overtly challenge the students' face within a classroom debate discourse, using tone of voice, situational questions and teasing humour (extract 6.4). Moreover, the teacher can increasingly challenge the student's face and identities and redress the potential face damaging after the teacher's face and professional identities are established (extract 6.5). With these 'soft' approaches to facework in less favourable situations in the classroom, the teachers not only manage to negotiate their dissimilar positions with the students, but also construct various identities, such as the teacher who is dedicated and copes well with teaching jobs (extract 6.3), the tough debater who is competitive, playful and mischievous (extract 6.4) and a teacher who cares about the relationship with the student after a dispute (extract 6.5).

Locating towards the 'critical' end of the continuum are those cases in which the teachers disregard students' face wants by challenging the student's face in order to construct or re-establish the teachers' loss of face (extracts 6.6, 6.7, 6.8. & 6.9). Examining these examples, students' wrong behaviours and overt challenges to teachers' face and identities apparently result in triggering teachers' critical facework. The teachers' critical work which challenges and disregards students' face needs can be done swiftly within one turn (extract 6.6) or span a longer sequence (6.9). The use of RQs (extract 6.6), questioning the student's eligible status (extract

6.7), imperative request uttered loudly (extract 6.8) and teasing humour (for nipping purposes) (Boxer and Cortés-Conde, 1997) are some of the discursive strategies and processes that these teachers deploy to challenge and distance the students from them.

It is noted that whilst there is an instance in which the students' challenges seem to be more face-threatening but the teacher deploys a rather 'soft' approach (moving away from the potential face-threatening act, extract 6.3), there are also instances where the students' challenges are more implicit, yet the teacher deploys an unmitigated facework. This finding highlights the contextual and discursive nature of facework, which arises in an unfolding interaction. It also challenges the previous ideas of separating face-threatening acts from their context and assumes predetermined effects that certain face-threatening acts have on the interlocutors' face and identities. By examining how facework is discursively done in the interactions, the findings in this chapter, therefore argue that "the strategies that a speaker employs to navigate the potential of a face-threatening act... are importantly dependent on the speaker's interpretation of her interlocutor's position on the topic under discussion" (Hall and Bucholtz, 2013: 126).

Moreover, by adopting different ways of doing facework to the students' face formulation upon them, such as maintaining, enhancing, threatening, the teachers can thereby construct and negotiate their identities. The findings support claims made by more current studies on the close link between facework and identity construction, i.e. that face and identities are difficult to tease out (Blitvich and Sifianou, 2017; Schnurr and Chan, 2011a; Joseph, 2013). In other words, by projecting alignment or opposition (doing face-work), teachers demonstrate their orientation to the students' face-wants and hence position theirs and students' identities (Geyer, 2008b).

The intricacy of teachers' identity construction drawn from the findings from the three analysis chapters call for a discussion of the conceptualisation of Vietnamese teachers' identities and how these participants' identities are constructed in the classroom. In the following chapter, I will address the research questions in the light of the literature and the findings summarised from the analyses. Moreover, drawing from such discussion, the next chapter also suggests the study's theoretical and practical implications.

## **Chapter VII – Discussion of findings**

This chapter summarises the key results and findings of this study in relation to the research questions, and it critically discusses them in relation to previous studies. The main aim of this study is to explore and deepen the understanding of Vietnamese teachers' identity construction in classroom discourse. This study has shown that teachers' professional identity construction is a dynamic and complex process. During such intricate identity construction, the teacher participants in this study deploy discursive strategies to construct and negotiate their professional and other identities. The study seeks to make a contribution by raising awareness of the dynamics of teachers' identity construction in Vietnam, which is considered a largely under-researched area. As a reminder, the main two research questions in this study were:

1. How are Vietnamese teachers' identities constructed and negotiated in the classroom?
  - What are key features of these Vietnamese teachers' identity construction? What identities are enacted in the classroom?
  - What are the discourse strategies and processes that the teachers employ to construct and mobilise their identities?
2. How can the findings from Vietnamese teachers' identities add insights to current teaching and learning practices, as well as teacher education in Vietnam?

This chapter will start by addressing the first research question with reference to the multifaceted nature of Vietnamese teacher identity and the discursive strategies and processes that the teacher participants in this study deploy to construct their identities. The next section addresses the second research question. It will discuss the implications and offer key messages pertaining to the bigger picture of the current teaching and learning context for the teacher education courses in Vietnam.

### **7.1. The dynamics of Vietnamese teacher identity construction**

This section discusses the multifaceted nature of Vietnamese teacher identities by considering it in light of key findings from previous analysis. The multifaceted nature is drawn from two crucial findings from the analysis. Firstly, it is the variety of less expected teacher identities found in the analysis of these Vietnamese participants, and secondly, the occurrence of frequent identity shifts in the

participants' classroom interaction. This section begins with the variety of Vietnamese teachers' identities constructed in the classroom discourse.

#### **7.1.1. The variety of classroom-enacted teachers' identities**

The first theme to be discussed, arising from the analysis, is the variety and multifaceted nature of teacher identities that emerged in these participants' classroom interaction. The findings suggest that the Vietnamese teacher participants in my study construct expected teacher identities that index the role of a teacher in the classroom, such as a corrector, guide or facilitator, and so on. Moreover, a wide variety of other, less expected, teacher identities are mobilised and constructed, including a friend to the students, a literature lover, a critical bilingualist, an educationist, a humorous and eccentric person, and an approachable person.

When engaging in language-focused classroom tasks such as teaching pronunciation and grammar, it is expected that the teachers construct professional identities through performing the usual teaching activities. These teaching acts constitute the teachers' formal pedagogical roles, which Richards (2006b), drawing from Zimmerman's categories of identities (1998), terms as teachers' classroom 'default identities'. These teacher default identities emphasize "an institutionally sanctioned and constructed identity of teacher as purveyor of lessons and leader of the class, with the learners in the default role of students" (Pennington and Richards, 2016: 08). Despite their omnipresence in classroom discourse, as Pennington and Richards (2016) contend, these situated/institutional identities should not be simply assumed by virtue of institutional settings. In other words, from the analysts' perspectives, the teacher-student situated identities can only be assumed when there is evidence in the interaction that shows one interlocutor's behaviours are indexing the identity construction of a teacher or a student. Drawing from the analysis, the Vietnamese teacher participants in the present study construct their institutional identities as professional and effective English teachers through being "an epistemic and managerial authority in the classroom by asking questions, issuing instructions and pursuing evaluations while the students, addressing their responses to the teacher, respond directly to these turns" (Sharma, 2013: 248). For instance, the participants regularly enact institutional rights to provide new knowledge, as in the case of Jack (extract 4.1, p. 106) and Jane (extract 4.2, p. 106, Chapter VI) when they offer the students translations of a new word or phrase(s). Similarly, by providing her

feedback, Jane (extract 6.1, pp. 155-156, Chapter VI) evaluates the epistemic positions constructed and displayed by the students. All of these behaviours are indicative of the teacher's epistemic authority in the classroom and hence portray them as the expert in the classroom context.

Although these situated/institutional identities of 'teacher' and 'student' are found to be pervasive in the classroom discourse collected in this study, it is argued that the teacher's identities embody many other facets, which are less institutional-related. Due to the increasing complexity of conceptualising learning processes from SLA studies, teaching processes, actions and conditions, subsequently, become significantly more complicated. This results in the multiplying of teachers' roles in language teaching and learning environments, or in other words, the expansion of what constitutes teacher situated identities or default identities. L2 teachers are currently depicted as communication and language experts, learning facilitators, contents designers and providers, interaction conductors, and cultural mediators (Río, 2013). Being described as such, teachers are expected to orient to a specific set of preferred actions, including choosing topics, correcting and giving feedback to learners, allocating next speakers and preventing learners from taking over (Seedhouse, 2004). However, teacher identities are much more complex and not as straightforward and predictable as Río (2013: 17) has maintained:

...since teaching is not only about possessing certain savoir-faire, but also about making sense of these – sometimes on a personal level – characterising an L2 teacher's performance is less straightforward and predictable than making a list of his linguistic, pedagogical and professional qualities, precisely because the L2 teacher is only a part of what lies within an individual's much larger identity.

Indeed, an attempt to understand language teachers cannot solely depend on how teachers master pedagogical skills and approaches to fit into the expected roles that they are assigned to. In order to understand language teachers, according to Varghese *et al.* (2005: 22), it is crucial to "have a clearer sense of who they are: the professional, cultural, political, and individual identities which they claim or which are assigned to them". This implies a more holistic focus on the teachers' other identities in order to understand how teacher identities are constructed in classroom discourse. The findings of Vietnamese teacher identity construction in this present

study are in accordance with the multifaceted nature of teacher identities reviewed in the literature review. Although as mentioned earlier, the teacher-student identities in classroom context are certainly pervasive in the discourse, a more nuanced examination of their institutional talk shows that the construction of teacher-situated identities is not always straightforward. For example, in extract 6.1 (p. 155, Chapter VI), while the main purpose of this extract is Jane giving Mae her feedback, and thus the sub-situated identities can be ‘feedback giver’ (Jane) and ‘feedback receiver’ (Mae), it is evident that other identities of friends-alike, who both love their jobs, were also constructed in the sequence. This shows that if we put teacher identities aside and do not impose them on the data in order to examine which interactional identities are instead evident in the data, then the complexities begin to reveal themselves and we become more aware of the complexity and variety of teacher identity construction. This finding is important as it challenges the essentialism viewpoints of what constitutes Vietnamese teachers’ identities. The assumption of Vietnamese teachers being the noble people, the source of knowledge and role models can easily overlook the teacher’s variety of identities constructed in the classroom.

Furthermore, on many occasions, the teachers made reference to different personal and social issues that had impacted on their lives in between their lessons or during discussion with the students. These instances reflect the teachers’ belief in and perception towards particular personal or social matters, as well as their position with regard to those issues. Extract 4.12 (pp. 121-123, Chapter IV) is one of the examples that illustrate this point. In this extract, teacher-student identities are constructed since Jack was trying to explain what was considered a good way of expressing ideas in spoken speech. However, within this explanation sequence, the identities of a critical, bilingual teacher who favours a Western style are also constructed. Claiming such identities, Jack at the same time assigns the identities of typically wordy Vietnamese students to the students. This extract has demonstrated the challenge of exactly pinpointing which identities are enacted as the primary ones, since so many facets of identities are evoked at the same time. These findings are in accordance with previous findings of the relationship between teacher identity construction and internal and external factors, that Trejo-Guzman (2009: 136) succinctly concluded:

...language teachers' past and present personal private lives, in other words their life experiences outside the educational institution, do play a central role in shaping who they are inside their workplaces.

Although this section attempts to demonstrate different identities constructed by the Vietnamese teacher participants in this study, its main focus is not to separate teachers' institutional/situated/professional/expected identities from their other facets of identities, such as personal, gender and religious identities. Rather, the purpose of representing and discussing the teachers' identities in such a way is to clearly look at the variety of identities, and what identities have emerged and become relevant. More importantly, the intertwining of these multifarious teacher identities will be further discussed in the following section.

### **7.1.2. Teachers' identity shifts**

Another reason for the multifaceted characteristics of teacher identities is that "identity is a relational phenomenon" (Bucholtz and Hall, 2005: 598). By drawing attention to the relational foundation of teacher identities, it is stressed that "identities are never autonomous or independent but always acquire social meaning in relation to other available identity positions and other social actors" (Bucholtz and Hall, 2005: 598). Put differently, the teacher identities are never constructed in isolation but simultaneously created in relation to other interlocutors' identities. The conversation between Joy and her students (in extract 6.2, pp. 158-159, Chapter VI) is a really good example that demonstrates this co-construction of teacher-student identities. In this extract Joy's teacher identities as an expert are negotiated as someone who discusses openly the nature of a task and how the task should be included in the homework; simultaneously, the students' identities as those who are new to the task, yet can conjointly make decisions about how should their homework include. The students' recurrent agreement token 'yes' found throughout the extract not only indicates the students' agreement with Joy's suggestion, but also illustrates the reinforcement of Joy's claimed teacher identities.

It is also this relational foundation that leads to the multiple identity shifts during the unfolding of the interaction when social actors' identities gain meanings in relation to each other by occupying or abandoning contemporary interactional roles (Bucholtz and Hall, 2005). As Gee (2001: 99) maintains, "[t]he "kind of person" one is recognized as "being", at a given time and place, can change from moment to



moment in the interaction, can change from context to context, and, of course, can be ambiguous or unstable”. This dynamic nature of identity construction applies to the professional context of classroom setting where teacher identity construction involves the constant negotiation of both the teacher and the student(s). Since identity construction is relational in nature and negotiated in discourse, the identity shifts occur as the result of the teacher’s orientation and reorientation to his/her relevant roles and identity categories in particular moments. There are many extracts in the present study to demonstrate the teacher identity shifts, such as in Hope’s use of teasing humour in a conversation with Bay in extract 4.7 (p. 110, Chapter IV). In this extract, it is observed that the teacher identities are shifted from being a task manager to a humorous and playful friend. From a transactional oriented mode “Can I see your reading and writing”, Hope orients to a friendlier and relationally oriented mode “What did you do in King’s house that made you forget your homework there?” According to Varghese *et al.* (2005: 22), “among other things that many aspects of identity – including, though not restricted to, matters of race, gender, and sexual orientation – were of the utmost importance in the language classroom”. In this extract, the teacher orients to the gender norm that male and female students should keep their distance in order to avoid inappropriate behaviours. This enactment of gender norm is the result of Bay’s reason for forgetting her homework that emerged in the discourse. By orienting to this norm to create teasing humour, Hope on the one hand displays her identities as a humorous and playful person, but also orients to the identities of a friend to Bay since the exchange between Hope and Bay shares similarities with exchanges between friends. The friend-like identity is quickly shifted back to being the task manager when Hope suggests a solution for Bay’s homework situation.

Furthermore, when examining the teacher’s identities by drawing from classroom interactional data, it is observed that the identity shifts can occur with different frequencies. As in extract 4.11 (pp. 118-119, Chapter IV), Jack’s identities shift from a teacher identity to a literature lover. The identity of a literature lover is quickly abandoned and the identities of language teacher are reconstructed in the same turn. In contrast to the swift construction of other identities, Hope, in extract 6.5 (pp. 171-172, Chapter VI), illustrates how a teacher negotiates over a sequence of turns to construct the identities of an evaluator. This finding of various frequencies of teacher

identity shift is in line with Schnurr (2013: 113) who highlight that “different identities might shift throughout an interaction and sometimes even within an utterance”. Additionally, due to the dynamic construction of identities in the classroom setting, the reasons for the teacher identity shifts also vary. For example, the teacher identity shift can occur for pedagogical reasons; this might be clarifying language-related matters or maintaining the group intersubjectivity (Río, 2013). Extract 5.6 (pp. 134-135, Chapter V) is an example that illustrates how teachers shift identities (from teacher identity to a humorous friend) to serve a language-related goal, where Hope adopts an animated and humorous approach to lexis to hint to the student about the meaning of a new word. Additionally, rapport building is another reason for teacher identity shift (H. T. Nguyen, 2007). In extract 4.9 (p. 112, Chapter IV), Jane has switched her identities from “being a teacher to being a friendly peer” (H. T. Nguyen, 2007: 289). Drawing from gender norms in Vietnam, Jane creates teasing humour with an imaginary relationship between two male students: “When Will holds Sean’s hand then Sean feels so scared”. In effect, Jane negotiates an in-group membership with the female students. The contradiction of gender norms create a shared laughter between Jane and her students and helps to “brings the participants closer together in the creation of a pleasant social atmosphere” (H. T. Nguyen, 2007: 289). Despite the fact that there are many motivations or triggers for teacher identity display and teacher identity shifts frequently in discourse, it is argued that teachers’ identities are not neatly distinguished but overlap between personal, professional, and social identities. These identities are closely interconnected, influencing one another and continuously shaping the teacher identities. When the interaction unfolds, any social event that impacts on one of the teachers’ identities is very likely to have an influence on the others. This holistic view rather than an atomistic understanding towards teacher identity formation is in line with Trejo-Guzman (2009: 16):

In the specific case of language teaching, professional and personal identities are frequently simultaneously enacted in the language classroom. This is due to the nature of the interaction that is held in language classrooms where many aspects of students’ and teachers’ personal identities are shared.

The identity shifts identified in the data differ from a number of studies that examine the shift between multiple teacher identities, such as in the work of Lee (2013) and

Kanno and Stuart (2011). These studies paid attention to the identity shift of teachers over time, such as from identities of novice teachers to L2 teachers (Kanno and Stuart, 2011), or from language teachers to writing teachers over a course of one year teaching practice, or after a teacher-training course. These studies have pointed out that the teacher identities shifted at the end of their practice and training, and highlighted the changing nature of teacher identities. In contrast to these studies that focus more on the longitudinal shifts in teacher identities from former to new identities, findings of the teacher multiple identities in my study reveal the microanalysis of teacher identities and their dynamic shifts in classroom interaction. Moreover, supporting the relational foundation of teacher identity construction and its dynamic nature in the classroom discourse, the findings reaffirm the discursive accounts of teacher identities. Such a confirmation is in line with ‘identity-in-discourse’ as stated by Varghese *et al.* (2005: 23), who acknowledges that “identity is constructed, maintained, and negotiated to a significant extent through language and discourse”.

## **7.2. Layers of Vietnamese teacher identities – the enactment of local and transportable identities**

While the first section discussed the dynamic nature of Vietnamese teacher identities, this section addresses the second part of the first research question: How are Vietnamese teachers’ identities constructed and negotiated in the classroom? Findings indicate that the teachers in the present study construct various layers of explicit and implicit identities through prominent discursive strategies and processes, including their code choice (CS), their use of humour and the way they do facework. Moreover, using Bucholtz and Hall’s (2005) framework, the analysis revealed that the participants regularly drew from local and cultural categories as the resources for their identity construction. These local, cultural and context-based identities, or transportable identities in Zimmerman’s (1998) term, constructed through the three discourse strategies aforementioned, help these Vietnamese teachers negotiate a distinctive position in which their pedagogical authority is maintained and at the same time their relationship with the students is established and enhanced.

### 7.2.1. Teachers' cultural identities

One of the first identity layers emerged from the analysis is the teacher cultural identities which can be observed from teachers' shifting from situated teacher identities to transportable identities by drawing from aspects of being Vietnamese. These localised, cultural identities are negotiated in many extracts, for instance through the teachers' code choice as seen in the analysis of extract 4.11 or their use of humour as in extract 4.8.

Similar to findings from Zhou's (2011: 289) study of the relationship between CS and Chinese teachers' identities in second language classrooms, the present thesis also finds that "teachers' cultural identity is a crucial factor affecting their code-switching behaviours". Zhou (2011) argues that in the context of the language classroom where the teacher and students share the same cultural background, it is highly predicted that certain content delivered in the class can reflect the teacher's cultural identities. The reason for such construction of teachers' cultural identities is owing to the shared knowledge of L1's culture and language between the teacher and the students. This shared knowledge and cultural understanding are considered to be valuable to the process of learning English and English-speaking countries' culture. In Zhou's study, the teacher participants construct their cultural identities by actively incorporating Chinese elements into the expanded discussion with students, such as Chinese literature and values. The enactment of teachers' cultural identities is similarly demonstrated, for example extract 4.11 (pp. 118-119, Chapter IV) showed how Jack oriented to his cultural identities when he switched completely to L1 to communicate with the students. By choosing L1 as the main code in the latter sequence of this extract, Jack highlights elements that are culture-specific to Vietnamese people, such as reminding the students about the most important and admirable Vietnamese people.

By orienting to these culture-specific aspects of his identities, it is argued that not only Jack's cultural identities are constructed; a number of other personal and social identities are simultaneously mobilised and managed. Particularly, Jack's explicit reference to several important Vietnamese people indexes firstly his ethnic identities as being Vietnamese. Secondly, using prescriptive language, including the modal verb 'can' in "can't joke about this", Jack constructed identities of a proud Vietnamese person who valued Vietnamese history through asserting the importance

of being appreciative to these important historical Vietnamese figures. As has been pointed out, we can see that several explicit social identities were enacted through Jack's overt statements. On an implicit level, other identities are also accomplished. That is enacting cultural identities in such way, in the context of classroom interaction, simultaneously portrays Jack as an educationist, someone who values national pride and influences the students to do the same.

The culture identities can be also seen through what teachers draw from to create humour and amusement in the classroom discourse. Using CS drawing from Vietnamese understanding of age system, Claire, extract 4.8 (p. 111, Chapter IV) successfully use humour to openly share her desire to be seen as a young teacher in L1 "I should be 28 but I see my age according to the western calendar so I can be younger". Claire's CS turn brings about the humour and marks the identity shift from teacher professional identities to more personal identities. Here again, the complexity of teacher's identity construction can be teased out through the way teacher constructed and managed a number of social identities using discourse strategy, self-disparaging humour. Firstly, an explicit identity claim of a young female teacher, who is in her 20s, was made when teacher mentioned "I should be 28". From her explicit statement, "but I see my age according to the western calendar so I can be younger", the identities of someone who desires to be seen as young are also negotiated. Using humour, these teacher's explicit identities are used to accomplish other implicit social identity claims that is of being a funny teacher who is not afraid of revealing personal information to her students. Additionally, by sharing her desire openly, Claire also constructed identities of an approachable teacher who undermines the normative noble position of teachers in Vietnam context.

As was discussed in Jack and Claire's examples above, the complex construction of teachers' identities is demonstrated through their management of several other social and transportable identities that are less expected in classroom discourse. All these explicit and implicit identity claims made relevant by the teachers are established by the three discourse strategies. Moreover, by orienting to more local, cultural aspects of their identities and not strictly binding to their institutional situated identities, the teachers were able to enact a wider range of teachers' identities. This positioning allows the participants to introduce social issues, which are culture-specific in a

Vietnamese context, to discuss with the students and create a space for conjoint meaning making. Furthermore, the enactment of various transportable identities also helps the teachers negotiate a position of someone who is approachable and friend-like. These implicit identities, the second layer found in the construction of these teacher participants, are the focus of the following section.

### **7.2.2. Approachable and friend-like teachers**

Other local, transportable identities which were frequently made relevant in the discourse of these participants are the construction of approachable and friend-like figures to the students. The participants negotiated these less predictable, transportable positions in the institutional classroom settings by doing CS, humour and facework drawing from various local, social and cultural resources.

To be perceived as approachable, friend-like figures, the teacher constructed a wide range of less expected identities in order to downplay the status difference and claim group membership with the students. For example, Jack (extract 5.7, p. 137, Chapter V) and Claire (extract 5.8, p. 138, Chapter V) are two examples of how teachers made use of their own social and personal issues, such as appearance concerns, life and finance struggles to initiate self-disparaging humorous sequences to downplay the status difference by making fun of their appearance – “skinny” (Jack’s data) and “I also want to lose weight” (Claire’s data). Also, Claire overtly mentions her financial struggle “poor, very poor” which shows how the teacher deviates from the teacher norms (teachers are noble, highly-respected people) to create humour from incongruity (teacher being poor and struggling). Self-disparaging humour, in these examples, is not only used to explicitly reveal personal features and identities of these teachers (those who are thin, chubby and poor), but also enables the teacher to “effectively reduce the extent to which he [sic] is perceived as intolerably intelligent” (Dolf, 1977: 295). Thus, the Vietnamese teachers’ use of self-disparaging humour, drawing on local, personal aspects of their transportable identities, is considered as a way to downplay their superior status and to demonstrate their ‘human’ side (Gorham and Christophel, 1990).

Drawing from local norms, which are familiar and often associated with the youth, the teachers enact personal aspects of their identities to claim group membership and construct friend-like identities with the students. For example, when Hope (extract

5.13, pp. 149-150, chapter V) initiates teasing humour by linking Art's hesitation and poor performance to the presence of a female newcomer. Successfully bringing off teasing humour, on the one hand, demonstrates explicit identity claims of someone who is funny, witty and playful. On a more implicit level, the tease helps the teacher confirm the group bond and in-group identities (being friend-like) since the humour is constructed on a common ground where the understanding of 'secretive romantic relationship in the classrooms' is shared within the interlocutors. When the teacher and other students cooperate to make an individual student (Art) the butt of the tease, this marks "the acceptance of humour targets by the rest of the participants, through laughter or through their contribution to the current narrative (in cases of co-narrations), indicates the group membership" (Archakis and Tsakona, 2005: 59). Therefore, through the teases, the teacher reveals their playfulness, establishes their in-group membership, creates a common ground to enhance the relationship with the students (Boxer and Cortés-Conde, 1997).

It is evident that by drawing from their personal and social categories, various explicit and implicit layers of teachers' identities are constructed, marking the shifts from situated identities to local, transportable identities, which help the teachers construct a position of being approachable, humorous, a friend to the students and enhance teacher-student rapport in the classroom. These findings are consistent with Wu's (2013: 21) study stating that "[teachers] use code-switching...humor, praise, comment to create a solitary atmosphere and to index their close relationships and identities to make students study more comfortably and effectively". Within the context of CLT classrooms in Vietnam where students are not actively engaged in communicative activities, such a process of identity formation, as observed from the participants of this thesis, is beneficial as it shortens the status distance and regulates the power dynamics in these classrooms. Differing from the usual expected situated identities, these teachers' investment of personal and local categories to construct and manage their dynamic transportable identities brings about the "possibility of new and potentially more productive forms of teacher-student interaction" (Richards, 2006: 72). Indeed, by positioning themselves as approachable, friendly and friend-like figures, the teachers let the students get to know them and establish a facilitative and encouraging classroom environment where the students can actively

communicate and take part in activities. These findings pave the way for important practical implications of this thesis which will be discussed in section 7.3 and 7.4.

Thus far, this section has discussed the multi-layered, multifaceted nature of Vietnamese teachers and the need to explore these prominent characteristics of teachers' identities by questioning default teacher identities in classroom interaction. The analysis of the participants' discursive strategies has illustrated that Vietnamese teachers' identities are not always associated with what is typically assumed from Vietnam's conventional culture and social perspectives. The teachers' identities are constantly negotiated and co-constructed with the students' identities when the teachers act upon and orient to various, less expected, teachers' identities during the unfolding of the interaction.

What has also been pointed out in this section are the theoretical implications of three identified discursive strategies used to mobilise and construct a wide array of teachers' identities. Differing from previous studies that have extensively considered ways to integrate these strategies more fruitfully for pedagogical purposes, this study asserts the close connection between these discursive linguistic patterns and the construction of interlocutors' identities. The Vietnamese teachers' identity construction has been investigated more fruitfully by closely examining and analysing the micro level of these participants' classroom interactions. Moreover, coupling Bucholtz and Hall's (2005) sociocultural linguistics framework with the exploration of Vietnamese classroom interaction offers new insights and helps to shed light on the intricate formation of Vietnamese teachers' identities.

### **7.3. The practical contribution to current teaching and learning in Vietnam and some significant remarks**

In this section, the second research question is addressed with regard to how the findings on the identity construction of Vietnamese teachers in English classrooms can provide implications for teacher development in Vietnam. Particularly, the following section outlines some more practical implications of the study in the wider context of Vietnam teaching and learning. Such a discussion helps the researcher to formulate specific practical suggestions and recommendations for both local and national practice in section 7.5.



### **7.3.1. The deviation of Vietnamese teacher identities towards constructivist learning theory**

The exploration of Vietnamese teachers' identities reveals a deviation from the cultural and social norms associated with traditional Vietnamese teachers. This deviation is recognised by virtue of teachers' tendency of not wanting to be perceived as those in power and authority, but rather the opposite. They want to be seen as teachers who are friendly, approachable, and friend-like to the student. Instead of orienting to the role models, they involve the investment of cultural, personal and local aspects and construct their identities as those who also face struggles and people who need to solve their everyday problems.

The Vietnamese teachers, in Vietnam's globalisation context, negotiate and take an interesting cultural position, which is oriented towards being a more open, friendly and approachable figure. They want to be perceived as those whom the students can trust both on subject matter knowledge as well as on mental and social aspects. The qualities and expectations of traditional Vietnamese teachers (such as established in Le Ha, 2008; Pham, 2014; T. T. Q. Nguyen, 2015) are mostly not foregrounded but rather stay in the background for the arising of new teachers' identities that emerge through the way they communicate with the student, how they enhance classroom relationships and the methods used for handling classroom tasks. Such positioning is transparent through all three of the teachers' deployment of prominent discourse strategies investigated in this study, including CS, humour and negotiation of face. Through these discourse strategies, the teachers mitigate the power distance between themselves and the students to establish a more intimate, friendly and approachable teacher-student relationship. Teachers' and students' interview data presented in previous analysis chapters also provided similar perceptions and impressions of such emerging identities and their positive impact on the classroom. For example, Jane makes an impression of her close and friend-like identities to her student (interview extract 4.4, p. 125, Chapter IV) by saying, "I am here to help you, not scare you, I don't scare you, I am here to help you, I am your friend". Another example is from Joy in interview extract 5.6 (p. 140, Chapter V) where Joy emphasises the important role of having a trusting and strong relationship with students, "we need to be good friends so that we can overcome difficulties together".

It is also believed that the interesting negotiation of these Vietnamese teachers' dynamic identities leaves a stronger impression on the students when it is laid against some of the conventional thinking regarding Vietnamese teachers, such as being 'the noble figures', 'the authoritative' and 'the moral guides' who teach by example. For example, from a discourse analytical perspective, the teachers used self-disparaging humour to create amusement (classroom interactional data), while at the same time letting the students be aware of teachers' imperfection and weaknesses can be considered harmful to the conventional Vietnamese teachers' 'role model' status. It is confirmed from the interview data that the participants in this study seem to realise their multiple and dynamic roles in the classroom, such as in Joy's interview extract 4.3 (p. 125, Chapter IV) and Hope's interview extract 6.2 (p. 162, Chapter VI) where their multiple identities were respectively claimed as "tour guide, mother or sister" and "as a partner, as a mentor".

In comparison with what is concluded from two key studies about Vietnamese teacher identity, the findings in this study reveal much more complex, dynamic and multifaceted features of Vietnamese teachers' identities. As pointed out in Le Ha (2004; 2008), 'moral guide roles' should be considered as an appropriate teaching approach of Vietnamese teachers and being the moral guide is the 'core' identity of Vietnamese teachers. This core identity is recognised through moral lessons implicitly embedded in teachers' stories and examples. From the data analysis perspective, the current study instead found that the cultural knowledge and moral lessons, rather than being imposed and influenced top-down (from teachers to students), was shared and co-constructed between teachers and students. For example, sharing the same understanding of cultural norms of gender, the teachers and students successfully used teasing humour to make two male students the butt of the tease (gay boy friends) (chapter IV, p. 112, extract 4.9). Moreover, as mentioned in the last section, the Vietnamese teacher identities are much more complex than being narrowed down to certain categories, such as 'the moral guide roles' as pointed out in Le Ha (2004, 2008). The deviation from such core identities as being the 'moral guides' and other conventional attributions of the Vietnamese teachers in this study are appreciated and explicitly confirmed by the students. As explicitly expressed in the students' interviews, such as from May and Shay's interview data (interview extracts 5.6 and 5.7, pp. 140 and 141, Chapter V), it seems to be the case

that these teachers' identity constructions make the teachers stand out from many previous teachers that the students had worked with. Frequently the students make a contrast between these teacher participants and what is considered a normal assumption of 'teachers' in Vietnamese society. For example, May mentions Jack as "[being] not really a teacher" and Shay finds Hope's "[being] friendly and approachable is much more effective" than authoritative teachers who follow a fixed structure.

Moreover, as seen in some examples, there are still instances of the Vietnamese teachers' orientating to the traditional roles of having expert knowledge and being authoritative figures (extracts 6.6 to 6.9, chapter VI). When these situations occur, it appears that the positive classroom environment is swiftly changed to a negative one (indicated from the transcription, observational notes and interviewing the teachers). Regarding this finding, this study argues that there exists a tension in these teachers' identity construction in which the participants attempt to balance the new emerging identities (advocated from the teacher training courses) and the traditional ones (the expert knowledge, the authoritative person). The following section will delve more into this tension.

### **7.3.2. The tension and conflict of Vietnamese teachers' identities in the context of educational changes**

While the promotion of friendly and approachable teachers' identities was evident, there were instances of identity tension and conflict in which the participants struggle to strike a balance between being knowledge experts, the authority and being friendly approachable teachers. For example, the sudden shift from a relaxed environment to a more serious and hostile one takes place when teachers feel that their face and identities are challenged and resisted by the students (extracts 6.7, p. 178 and 6.8, pp. 183-184, Chapter VI). This identity tension and conflict can also be realised from the teachers' interviews when I asked for their opinions in conflicting situations, such as in interview extracts 6.3, 6.4 and 6.5 (Chapter VI, p. 181 and p. 186). In particular, the interview revealed the inconsistency between the teacher's claimed identities as a fair and open-minded teacher and the discursive construction of a more powerful and imposing teacher in real conflicting classroom situations (interview extracts 6.3 and 6.4); or Hope's experiencing face loss, lack of student respect and encountering an "out of control" situation when the students "think of

[her] as a friend” (interview extract 6.5). Drawing from the interview data, the identity tension and conflict, which these teachers experienced, is to find a balanced space in which they are as intimate as friends with their students, while at the same time maintaining a certain level of respect for someone, who is more knowledgeable and more experienced. As indicated in the analysis, particularly extracts 6.7 (p. 178, Chapter VI), when a student expresses her personal opinion and distances herself from the teacher’s advice, she experiences the teacher’s face threat (i.e. to be excluded from the classroom). Another example belongs to Jack in extract 6.9 (p. 187, Chapter VI). When Jack repeatedly disregards the student’s opinion and position, this can easily overstep boundaries and create an uncomfortable situation for the student. While it is reasonable that maintaining a respectful relationship between teachers and students is crucial in the classroom, it is argued that if the teachers are more empathic in dealing with these situations, it can strengthen the classroom’s environment. This reminds us of the humanistic approach to language teaching of Stevick (1990: 29) in which he emphasises treating “students as the ‘whole persons’” with both intellectual and emotional dimensions, rather than seeing them as pedagogical subjects.

Although being contested is a natural process of identity formation, in the process of the pedagogical transformation in Vietnam (established in the introduction chapter), this identity tension and conflict can be greater acknowledged in the transitional process of “[bridging] the ideal curriculum and the operational curriculum” (Hằng *et al.*, 2017: 03). It has been stressed by many studies that the implementation of a new curriculum material depends largely on teachers’ knowledge and belief about whether the new materials contradict what they believe works in the class (Hằng *et al.*, 2017). This highlights the prominent role of teachers’ knowledge, belief and perception in relation to the new teaching methods, in this case the constructivist learning theory, and the role and teaching philosophy entailed within it. In other words, the changes in teaching methodology need to be paired with the same teaching philosophy that carefully considers the role and expectations placed upon the teachers. If the teachers do not gain a meaningful understanding of the new approach, including the shift of their roles within this new approach, it is the case – as seen from my study – that there are instances where the teachers encountered an

identity tension (imposing their personal preferences on students and being challenged by the students).

Unfortunately, there is a lack of consideration paid to teachers' identities and the possible tension that teachers face in their everyday activities in the current teacher education system in Vietnam. Although the role of the teacher is emphasised as the most important in educational changes – as stated by the most current governmental document from the Vietnam Ministry of Education and Training – many scholars have doubted the efficacy, during implementation and execution, of this top-down policy. The document highlights that:

Teachers are at the center of the reform process. The success of such a reform will depend almost exclusively on the preparedness of the teacher to master the new pedagogical paradigm (The World Bank, 2016: 4).

It is true that placing the teachers at the core of achieving educational change is a sensible move, yet it is necessary to understand that this should not only involve mastering the pedagogical paradigm but, equally importantly, the teachers' perception of their identities during such critical changes. This is where my study can add insights to the current approach of teacher professional development in Vietnam. Placing the teacher at the centre of bringing successful educational reform, this study strongly suggests that the government and teacher training institutions in Vietnam will need to take into greater consideration the role of teachers' identity construction. Understanding this concept and the construction of Vietnamese teachers is crucial, as it will create some tangible ways to implement these insights for future policy and bridge the gap between governmental documents and the reality of teaching and learning in the classroom.

The focus of teacher education should not only be on the methodologies teachers use but also their perception of their role and expectation in the classroom, particularly in the context of policy changes and demands on teaching approaches. This context of educational changes entails processes of transformation in which the impact of such work on teachers' identities is often left unaddressed.

Transformation also creates an identity crisis that simultaneously empowers and destroys, undermining the teacher's sense of self, efficacy, and sustainability even as it inspires her to advocate for marginalized students and to hope for wider social change (Pyne, 2005: iv).

It is clear that teacher identity construction relies on various social and cultural influences; it also emerges, mobilised and contextualised in the exchanges between the teacher and the unpredictable nature of classroom interaction under a constructivist learning approach. To nurture teachers' awareness of their identity construction, this thesis calls for a shift of focus from 'what teachers can do' to 'how and why they do it' in teacher educational movements in Vietnam. The following section will tap more into how practical implications at micro and macro levels can be involved to bring about changes in the teachers' education system.

#### **7.4. Practical implications for Vietnamese teachers' professional development**

Given the key remarks recognised from the exploration of Vietnamese teachers' identities in the previous section, this section puts forward several practical suggestions for the improvement of both local- and national-related practice. It is noted that these practical suggestions are not centred only on 'best practice' and latest methodological fixes, but have more capacity for raising awareness. These suggestions promote two key features and requirements of Vietnamese teachers' identities, as follows:

- Vietnamese teacher identities are unstable, dynamic and discursively constructed and mobilised in the classroom.
- With the demands of the new teaching approach, it is crucial that Vietnamese teachers are assisted to understand and be more aware of how their new roles and identities are negotiated and constructed.

The following proposes suggested steps needed for both the micro and macro levels to realise and put into practice these two key features. It starts with suggestions for teachers' self-study and reflection.

##### **7.4.1. Raising awareness, and the role of Vietnamese teachers' reflections**

The findings in this study firstly confirm the importance of placing teachers' identities at the centre of teacher development (Trejo-Guzman, 2009) owing to the crucial role that teachers' identities play inside classrooms, specifically in relation to the construction of students' identities and a positive teaching-learning environment. It hence leads to the first implication of raising Vietnamese teachers' awareness of this crucial role of their identity construction; an area, to which is not paid sufficient

attention in both teacher training and educational research. One of the first observations is that the majority of many current professional development courses for English-major teachers in Vietnam focuses on the techniques and methodologies that can enhance learning outcomes (The World Bank, 2016). Although these courses might provide practical knowledge and prepare the teachers with more fun and interesting activities, it is argued that a critical link between pedagogical techniques and the teacher's teaching context, core beliefs and identities, can enhance the success of these techniques. In other words, by focusing primarily on what skills and techniques the teachers can deploy for the best learning outcomes, the current professional development courses are placing higher value on how the teachers can better perform their functions of 'being a teacher' rather than considering the intricate process of 'becoming a teacher' (Mayer, 1999). While the former highlights and points to the functions that the teacher can learn to perform their teacher roles, the latter recognises the ongoing process of becoming a teacher. A training approach that puts emphasis on 'being a teacher' rather than 'becoming a teacher' can run the risk of "assum[ing] a single definition of a 'good teacher' which centres on the demonstration of skills" (Mayer, 1999: 09). From this perspective, teaching is considered to be a process of imparting knowledge to the students through showing skills and operating techniques. The findings of my study have demonstrated that teaching and the process of negotiating teachers' identities is not static but involves many social and personal dimensions, and cannot be purely narrowed down to learning to perform techniques in the role properly. Moreover, it has also shown that other identities not traditionally associated with teaching or being a teacher, frequently become relevant and are often oriented to, such as being a friend, a husband, and a critical bilingual. These findings are important because they reflect the multidimensional nature of teachers' lives and their identities inside the classroom (Sachs, 2005; Beauchamp and Thomas, 2009). It makes us understand that teachers should not merely be seen as the technicians and knowledge experts who perform what is required in their job and role (Verloop *et al.*, 2001). Besides the knowledge aspects of the lesson, teachers' personal beliefs and perspectives also enter the classroom. They not only share the knowledge of the taught subject with the students, but also issues around their lives – what they believe and value. By doing so, they let the student understand, and get to know them as a person rather than simply an authoritative person with knowledge and techniques.

Another drawback of a training approach that only provides skills and techniques is the overlooking of a crucial point that “[l]earning to teach is individualised, personalised and contextualised, and it is ongoing. It happens within multiple contexts, and sometimes this causes dilemmas during identity formation” (Mayer, 1999: 10). For example, the dilemmas occur due to the differences between the teachers’ personal belief of their role in the classroom and that of a new curriculum. Moreover, training to teach with the skills and techniques that are proved to be effective in one context also implies that these skills and techniques are transferable to other contexts. By doing this, the professional courses oversee teachers’ ability to carry out their own professional judgement. This judgement is the teachers’ ability to not only perform their role, but being able to understand and articulate what, how and why they choose to do what they do. In other words, in addition to being a competent practitioner, more radically, the teachers need to be true professional practitioners by being involved in reflection.

#### ***7.4.1.1. The role of reflective practice in teachers’ identity development***

The role of reflection/ reflective practice (henceforth RP) has gained increased attention in many current teacher education programmes with regard to teachers’ identity development. For example, the central occupation of teachers’ reflections in pedagogies that aim to develop teacher identity can be nicely demonstrated in the current work (Meijer *et al.*, 2014). In this study, three key pedagogies of developing teacher identity are proposed and discussed, including ‘story lines and key incidents’, ‘subject autobiography’ and ‘at-tension program’. The first pedagogy takes into account the teachers’ reflection from ‘key incidents’, which occur during the teachers’ one-year practice. In the form of portfolios to document and reflect on these key incidents, the teachers show how these incidents have been resolved and how they, as teachers, have developed from those incidents. The second pedagogy, from a rather different perspective, is where student teachers “describe and develop how their identity is shaped in relation to the subject they (learn to) teach” (Meijer *et al.*, 2014: 293-294). The third pedagogy is an intensive programme that student teachers follow to reflect on the tension they face during their first year of teaching. The teachers firstly take part in a survey form, in which a statement of the tension is formed from their encounters, such as struggles to fulfil the students’ need. This initial step is then followed by several sections to help teachers reflect on their



emotional and professional ways of coping and how these tensions become the learning opportunities for teacher development.

RP plays a crucial role in the development of teachers' identities as Beauchamp and Thomas (2009: 182) has mentioned:

Reflection is recognized as a key means by which teachers can become more in tune with their sense of self and with a deep understanding of how this self fits into a larger context which involves others; in other words, reflection is a factor in the shaping of identity.

Regardless of the prominent role RP plays in teachers' professional development, in their book about RP in the context of English language teaching, Mann and Walsh (2017: 05) have mentioned seven issues relating to RP:

- dominated by models and writing 'about' reflection and lacks precision about 'how to'
- not sufficiently data-led
- too often presented as an individual process and fails to foreground collaboration, how it can be scaffolded, or how it might result from participation in a community of practice
- dominated by written forms of reflection at the expense of potentially more beneficial spoken forms
- dogged by inconsistencies and concerns about whether assessment of reflection is desirable
- faced with issues about the nature and variety of reflective tools
- undermined by professional educators who do not always practise what they preach.

Guided by these issues and the crucial role of RP to the findings of this study, my research advocates for a reflective approach that involves more data-led attention to classroom interaction and sensitivity to aspects of roles and identities. The rationale for this proposal is based on two key observations. The first is the need that "reflection based on both theory and classroom reality can be initiated and guided in order to enable teachers (at every stage of their career) to overcome individual/subjective patterns of thinking and acting, and thus to tackle in a flexible manner the complexity of teaching situations" (Cheung *et al.*, 2015: 32). And second, it is realised that while a great number of studies have acknowledged the dynamics of teachers' identity construction, it has been pointed out that the recognition of such a dynamic process is not evidently elaborated in the form of activities in teachers' education courses. Taking teachers' identity shift as an

example, according to Beauchamp and Thomas (2009: 184) , “[w]hile it is clear from the previous discussion that shifts in identity are an acknowledged part of becoming a teacher, overt attention to these shifts within teacher education programmes has not always been evident”.

The solution for the lack of identity-based activities can be addressed when teachers’ professional development courses include analysis activities of the teachers’ classroom interaction accompanying vignettes and interview data (Copland *et al.*, 2016). In other words, it puts forward the importance of raising teachers’ sensitivity to the specific processes of their teachers’ identity formation and how their identity shifts occur by critically engaging in analysing classroom interaction (using a sociocultural linguistic approach to identity), reflective vignettes and interview data. For instance, similarly to what is adopted in my research, if the teachers can engage in analysing their classroom interaction, they can become more aware of their discursive strategies and processes that they use in their classroom. By taking part in this process of obtaining a better understanding of what actually happens in their classroom, the teachers can become more informed of their identity construction and its interconnection with their pedagogies and relationship with the students. For example, taking on the identities of a friend, a travel-lover and so on, the teachers might recognise the benefits of creating a common ground between them and the students. The classroom environment therefore can become warmer and welcoming where the power asymmetry between teachers and students is mitigated. Such an environment opens an opportunity and encourages students to participate and share their opinions.

Besides my understanding of the role of data-led reflection informed from my wider reading (Mann and Walsh, 2017), having opportunities to work with MA and PhD students at the University of Warwick had helped me develop some insights into how integrating data into training materials can lead to more meaningful and situated learning opportunities for teachers. In particular, I have observed and realised the effectiveness of using reflective vignettes with classroom interactional data (from my own study) to engage MA and PhD students in collaborative and meaningful discussion. The theoretical and practical knowledge that I obtained through those processes has guided me in developing Vietnamese teacher’s self, collaborative and

dialogic reflection practices to realise the multifaceted nature of their identities as a practical outcome of this current study.

Furthermore, since identity development is not restricted to pre-service teachers, who are believed to experience identity shift most obviously (for example, from student-teacher to experienced teacher), engaging teachers in analysing their classroom interaction and reflective vignettes can also be very effective for experienced teachers to recognise the dynamics of their identity construction in the classroom. By putting the emphasis of reflection on teachers at any stage of their career, my research supports the idea from Beauchamp and Thomas (2009: 184) to consider “reflective activity and practice-centred research that begins with discussion or individual reflection on identity as the basis for professional development or action research to examine practice and implement changes, possibly together with others”. With the implications drawn from previous frameworks, identity development pedagogies, findings from my research and the insights from teaching at Warwick, in the next section, I propose a workshop and an identity reflective project to involve Vietnamese teachers in obtaining a better understanding of their identity construction in the classroom discourse.

#### **7.4.2. Proposed workshop materials for raising teachers’ understanding of identity construction**

The workshop is expected to be one of the main outcomes as this current research can bring about when I approach these language centres for data collection. As a result, the directors and teachers in these language centres are looking forward to this workshop as a means for their professional development. The workshop’s length spans over a three-hour period with 15-minute breaks intermittently. The participants are Vietnamese teachers from the several language centres from where data of this study were collected, namely ABC and Englishforall (see section 3.3.1). The number of participants in each workshop is around 15 to 20 teachers. This workshop is designed to support in-service education and training (INSETT); however, it is noted that the data in this workshop can be altered to be more applicable for pre-service education and training (PRESETT) (Edge and Mann, 2013). The workshop aims to achieve three main targets as follows:

- To raise awareness of the multilayer and multifaceted nature of teacher identities in the classroom

- To engage the teacher/pre-service teacher in analysing the dynamics of various teacher identities constructed in the classroom interaction
- To establish a portfolio to gradually document the teacher's identity-related reflective practice over the course of six months.

In order to create an analytical foundation for the participants, the workshop draws from two analytical frameworks, namely Walsh's Self Evaluation of Teacher Talk (SETT) (2011) and Bucholtz and Hall's sociocultural linguistic approach to identity (2005). As this workshop is expected to last over the course of six months, sociocultural theories of learning (SCT) are also employed to develop a regular collaborative and dialogic RP for the participants during their post-workshop reflective project.

Walsh's SETT framework is a very useful guideline for teachers' RP by helping teachers to pay attention to specific features of their talk, such as teacher echo, repair and interruption. By self-evaluating their classroom talk's features, the framework aims to "help teachers gain closer understandings of the complex relationship between language, interaction and learning" (Walsh, 2011: 147). Walsh's SETT framework is combined with Bucholtz and Hall's sociocultural linguistic approach to identity (2005) to expand teachers' understanding of their classroom features and how teachers position themselves and students. By combining these two frameworks, the workshop hopes to gradually guide the participants both through the aspects of their classroom talk and their identity construction portrayed through various features of that talk.

SCT of learning are considered another useful theoretical perspective for the development of post-workshop activities, since SCT of learning highlight the social nature of learning taking place when learners' new understanding is obtained through engaging in collaborative interaction with the 'expert'/facilitator. While SETT and sociocultural linguistic approaches can offer tools and principles for teachers' self-evaluation of their own classroom interaction, it is recognised that it is equally fundamental for the participants to engage in collaborative RP with others. By having opportunities to discuss and elaborate on their self-evaluation and positioning, the participants can be more engaged with and have more sense of their evaluation. The specific application of these theoretical perspectives within this identity workshop is presented as below.

In order to prepare for the activities in the workshop, the attending teachers are advised to bring in a transcript of 5 to 10 minutes of their classroom interaction or a 10-minute video recording of any segment of their own classroom activities. The extracts should include the involvement of both teacher and student, such as a small exchange or discussion between teacher and student. It is anticipated that the majority of the participants are not familiar with the transcript convention and therefore the participants' transcripts can be presented as verbatim. The teachers' classroom audio and video recordings are sent to the workshop coordinators through email.

The workshop includes five main stages and procedures. The first stage aims at raising the theoretical understanding of the teachers' conception of identity construction. In order to achieve this, one of the first, crucial steps is to create an opportunity for the teachers to elaborate and exchange their current conceptualisation of teacher identity construction. The teachers are divided into groups of three to four people to address the following questions in 15-20 minutes:

- i. In your own understanding, can you define what teacher identity is? (Share your understanding with your colleagues).
  - a. In your definition, is teacher identity something that is fixed and should be maintained across lessons? (Why? And please provide examples if possible).
  - b. Are there any instances in your recollection that you had struggled to establish your identities in the classroom? What had you done and why do you think such instances occurred?

A representative of each group will express their group's views and conceptualisation of teacher identity construction according to the questions in (i). This is followed by the workshop coordinator's summary of main points from the discussion and his/her highlights of the social constructivism view of identity construction. The introduction of this key concept is implemented as in ii.

- ii. A brief introduction to the social constructivism of identity construction:
  - a. Giving out different identity definitions (including those which advocate the statics of identity construction and those which advocate the co-construction of

teacher identity construction). Let the teachers decide which applies to them and why they think such a definition is more relatable.

- b. Introducing the five key principles of sociocultural linguistics to identity and examples of each principle.

Since it is anticipated that some teachers might find the principles hard to process, the workshop will address this problem by guiding the participants through analysing exercises as in iii.

- iii. Analysing reflective vignettes (classroom interactional and interview data) or videos and the realisation of teacher identity construction using SETT and a sociocultural linguistics approach to identity.

- a. Introducing key transcript conventions:

A list of the most basic transcript conventions will be given and explained to the participants. An example of the transcript will be used in accordance with its audio file to help the participants visualise the use of conventions in transcriptions.

- b. Providing examples of how identity construction is mobilised from studying vignettes of classroom interactional and interview data:

The vignettes used in this training workshop include both classroom interactional and interview data; however, as an example of how training materials are present (see Appendix G), a reflective vignette of classroom data is provided. It is noted that for whichever types of data I use for the workshop, the basic pattern will be similar to (Copland *et al.*, 2016) where the context will firstly be introduced, followed by the data and some reflexive tasks for commentary. For example, an extract of teacher's CS and teasing humour (chapter IV) can be used to demonstrate how the teacher uses L1 and constructed an in-group identity with female students and made two male students the butt of the tease.

- c. Teachers study their own transcripts/short videos and exchange with their colleague or group members:

The teachers are then divided into pairs or groups of three to study each other's transcripts. During their discussion, they can select one significant extract from their group to share with the whole workshop. Each group can take turns to

present their selected extract, including the context of the extract, and what is interesting with regard to identity construction.

The teachers' short video recordings can help the groups to "quickly identify features of a teacher's practice which could be improved or developed" (Mann and Walsh, 2017: 117). Besides creating an opportunity for teachers to reflect on each other's classroom interactions and practices, the workshop will introduce VEO, a downloadable app that allows the teachers to insert live tags alongside their video recorded lessons. This app is included as a part of preparing and planning the participants for the six-month project in the following section iv.

After the exercise, the workshop coordinator summarises noteworthy points and asks for the teachers' opinions and to think about what they have learned from analysing their classrooms' extracts and videos. The workshop concludes with planning the teachers' future reflective practice for making teachers conscious of their identity construction in relation to issues such as CS, humour and face negotiation as in iv and v.

- iv. Planning future reflection and a post-workshop project into the teachers' working timeline.

The workshop coordinators will invite the teachers to take part in the project following the workshop, which takes a period of six months to complete. The teachers who take part in this post-workshop reflective project will record (either audio or video) and analyse at least one of their lessons per month. The recordings and analyses will be submitted to the project managers to keep progress. These transcripts and recordings are good resources for the teachers to form joint research groups leading to a publication that contributes to case studies of data-led teachers' reflections on the current RP trends for English language teachers (Mann and Walsh, 2017).

- v. Portfolio, online forum and Critical Friend Group

In addition to their analyses, each teacher can create a portfolio and write weekly journals detailing the progress of understanding their identity construction from their lessons. Furthermore, the teachers are registered to a forum founded by the project managers to raise any questions and discuss

concerns relating to analysing data, teaching methodologies and finding relevant references.

The project also plans to combine teachers' individual work with the Critical Friend Group (henceforth CFG) model, similarly to the work of Pennington and Richards (2016). Since Vietnamese teachers are more familiar with working individually than working in a group, creating a more collaborative learning environment for teachers is considered a necessary move for teachers' professional development. CFG is in fact a beneficial model because it provides "meaningful feedback, motivation to direct [teachers'] learning, increased levels of trust and morale among themselves, and justification to do more work" Vo and Mai Nguyen (2009: 207). The teachers' friend groups of three to four teachers will be formed in each language institution. These CFGs can create their timeline of meeting at least once every month. In their monthly meeting, the teachers can share their transcripts/reflective notes and receive feedback from their team members.

At the end of the project, the participants will be invited to a meeting where they can share their opinions and thinking after the project, for example what they have obtained from analysing their classroom interaction and video recordings and sharing their data with team members in CFGs. The teachers' feedback to the workshop and project are also collected. The teachers who participated will be given a certificate of attendance that is issued and approved by the English department in Haiphong University.

Establishing a learning opportunity for teachers to understand their identity construction in the classroom is the main inspiration behind designing the workshop and post-workshop reflective project. This section has provided practical implications and reflective practice at a micro level to raise awareness of teachers' identity construction in the classroom. The following section looks at practical implications at a macro level where suggestions are made for curriculum designers, teacher training experts, researchers of classroom interaction and policy makers in Vietnam.



### **7.4.3. For Vietnamese teacher education curriculum designers and teacher training experts**

Findings from this study encourage the curriculum makers of teacher training courses to design courses and activities towards a more constructivist approach to teaching and learning for teachers. Establishing such an environment plays a crucial part in helping teachers obtain a meaningful understanding of the student-centredness approach during their training. Given the issue in current teacher education where teacher education courses are “[p]oor and non-diverse content...[and] main focus of training programs on theory not on practical skills” (Nguyen, 2015: 202), one of the initial steps is to diversify teacher training programmes with a wider range of activities and forms. Fundamentally, the ways these programmes are designed and delivered to teachers need to be parallel with the principles of the constructivist approach to teaching and learning. For example, teachers are not inactively introduced and interact with the new curriculum and concept in only lecture formats, where note taking is the main activity and discussions are not encouraged. Instead, the curriculum needs to include activities that stimulate exchange and discussion between teachers in order to create a dynamic training environment. Moreover, microanalysis of classroom interaction should be included and considered as one of the prominent activities to make training more conducive to meaningful learning for teachers. Analysing classroom interaction is helpful in conveying the key concepts of teachers’ identities, additionally, so as to familiarise teachers with data transcripts and create a routine for teachers’ own classroom interaction analysis and reflection at a later date.

Moreover, these courses also need to take into account and promote the integration of teachers’ personal and social lives into the classroom and its role in their identity construction. Teaching is not just about the students, but also how the teachers make sense of their professional world, including the materials, classroom atmosphere, complication of macro forces, such as hidden power relations, and political forces. It is therefore necessary to emphasise and pay attention to the teachers’ personal life and their perspectives on various social issues, and how these are manifested and construct teachers’ identities in the classroom interaction. For example, curriculum designers and teacher training experts can draw from frameworks that depict the key influences on the formation of teacher identity and integrate them into teacher

training courses, such as the work of Flores and Day (2006). This framework is illustrated in Figure 7.1:

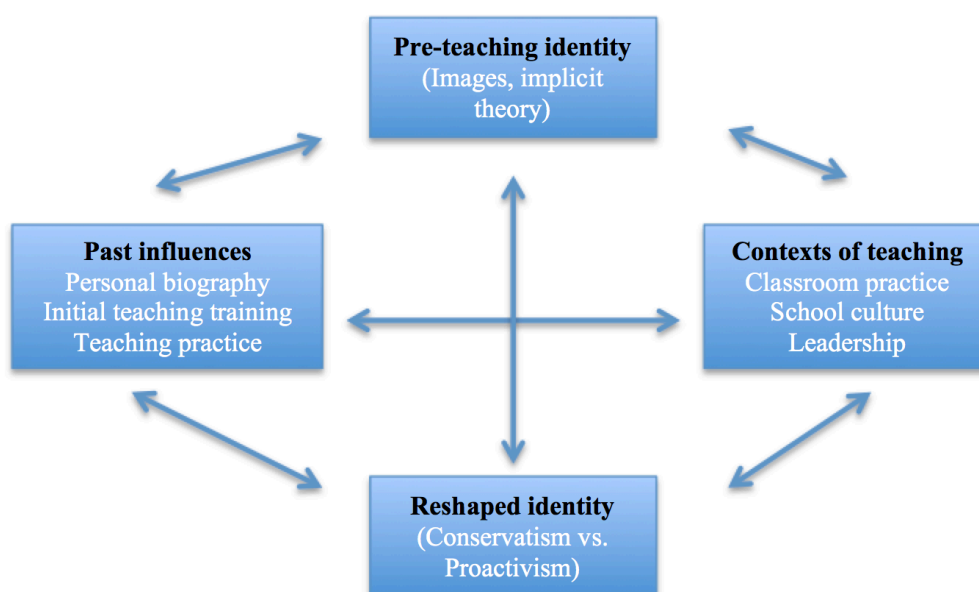


Figure 7.1. Key mediating influences on the formation of teacher identity

This framework is particularly relevant in terms of demonstrating many internal and external factors that can influence the formation of teacher identities. One particular factor, which the findings of my study can expand with regard to implementing reflection and designing activities for the development of Vietnamese teachers' identities, is the role of 'classroom practices'. More specifically, it is the intricate interconnection of classroom discourse, pedagogies and the formation of Vietnamese teacher identities. Curriculum designers and teacher training experts can draw from other research resources, such as using personal biography/narrative enquiry to investigate the Vietnamese pre-service teachers' identity development after training courses, to develop a more holistic understanding of Vietnamese teachers' identity construction.

#### 7.4.4. For the Ministry of Education and Training of Vietnam

In order for any policy changes to occur at ministry level, the effect of this educational movement that places teachers' identities at the heart of teacher professional development needs to gain substantial success. For that reason, it is recommended that the model of workshop and classroom format will be initially piloted in the university and English institution where this study is sponsored. The

result of this campaign will be reported and considered after a 6-month period. If it is successful, there is strong evidence to move forward with a proposed plan to the Department of Education and Training in Haiphong city from where this research collected data. The effect of the proposed workshop (section 7.4.2) will be compiled and a detailed proposal will be brought forward and submitted to the Ministry of Education and Training in Vietnam after the 6-month period.

The introduction of teachers' identity conceptualisation when a new policy is issued will involve a wide range of conferences and workshops where teachers from different institutions across the nation gather for professional development. It will be proposed to the government to establish a platform, such as an interactive nation-wide forum, where teachers from different institutions can register and share their classroom plan and the evaluation of their classroom interaction.

#### **7.4.5. For researchers of classroom interaction and Vietnamese teachers' identities**

This study is set in the context of Vietnamese teaching and learning, where the teachers are strongly perceived as those in control and dominant in the classroom activities and discourse. This belief is informed in many previous studies that criticise the pervasiveness of the teacher-centred approach in Vietnamese classrooms with the high frequency of IRF/IRE patterns and teachers' use of close-questions. However, findings from my study challenge this assumption of teacher-student discourse with their fixed roles and expected linguistic patterns reported from previous researches on Vietnamese classroom interaction. It argues that regardless of the omnipresence of the typical classroom patterns, IRF/IRE, researchers and linguists of classroom interaction in Vietnam should look beyond the common patterns and examine closely the construction of turn and how participants construct sequences together to truly understand what is going on in the discourse. On the other hand, findings from this study hope to encourage future researchers to adopt a sociocultural linguistic approach, as in this study, to further explore the complexity and dynamics of Vietnamese teachers' identities.

This chapter has addressed the study's research question in light of the findings and previous literature. The following chapter summarises the whole thesis by reinstating the purposes and significant contributions of the investigation of Vietnamese

teachers' identity construction. Finalising my study with such a critical overview, the last chapter also includes a discussion of the study's limitations as well as the recommendations it has to offer for future research.

## **Chapter VIII – Conclusion chapter**

### **8.1. Introduction**

This chapter concludes the whole thesis by briefly summarising its theoretical, methodological and practical contributions. It is then followed by a section discussing the limitations of this study and is completed with my recommendations for future research.

### **8.2. Summary of contributions**

This study was a piece of exploratory research designed to enable me to gain understanding of the identity construction of Vietnamese teachers in language classes. I was focused on investigating what identities the teacher participants in my research construct in their classroom interaction and whether these identities are orienting towards the conventional images of Vietnamese teachers. The finding of the variety of identities constructed and mobilised in these teachers' classroom discourse has, on the one hand, reinforced the current understanding of the dynamic and multifaceted nature of identity construction in social interaction, particularly in educational sphere. On the other hand, it illuminates and challenges the essentialism viewpoints and the society's conceptualisation about what constitutes 'a teacher' in Vietnam society, such as claims about them being 'the authority', 'the noble figure', 'the expert knowledge' and 'the moral guide role'. By finding out that these participants construct a much wider range of other, less expected, teacher's identities, this present study puts forwards the reconceptualization of Vietnamese teachers' identities in a globalisation era.

The findings of the personal and interpersonal aspects in the construction of the participants in this study also challenges the view of seeing teaching merely as a transactional role and professional identity should only constitute goal- and task-oriented matters. It hence, widens the understanding of Vietnamese teacher's professional identity as the combination of all the aspects around teachers' lives, including their duties, their social life as well as the values and beliefs that they hold.

The study is, to the best of my knowledge, one of the first studies that explores in-depth the identity construction of Vietnamese teachers in English education classrooms from a discourse analytical perspective. Among a few studies about the construction of Vietnamese teachers' identities, this study, by using classroom

interactional data, has offered a rather different perspective into the teachers' actual identity construction in the classroom. Instead of relying on quantitative and qualitative data, such as interview (Le Ha and Van Que, 2006) and written journals (Le, 2013), looking at Vietnamese teachers' identity from classroom interaction perspectives using sociocultural linguistic approach provide insights into teachers' discursively "positioning of [teachers'] self and other" (Bucholtz and Hall, 2005) and how their "agency is discursively constituted, mainly through language" (Varghese, et al., 2005: 39). This study therefore addresses the call by Nunan (2017), albeit offering localised understanding of teachers' identity construction of only two language centres in Vietnam, for the interrelation between trends in pedagogy and practice and their effect on language teacher's identities.

Putting forwards the dynamic and multifaceted understanding of Vietnamese teachers' identities, this study sheds light on an area of teacher education lacking attention in Vietnam. It calls for more value to be added and awareness to be raised about teachers' understanding of their discursive identities when communicating with students on the daily basis in their lessons. A proposed workshop following a 6-month post-workshop with data-led, dialogic and collaborative reflection would be my attempt to put into practice the findings of this present research.

### **8.3. Limitation of the study**

One of the first limitations of the study arises during analysing the data. Although the use of classroom recording helped me to investigate the construction of teachers' identities turn by turn, the discourse analysis is based solely on my own interpretation. Since the researcher's interpretation is likely to be ideological, the researcher's interpretation and explanation based solely on the text can be subjective and lack validity. Although this study has attempted to address the problem of validity by carrying out follow-up interviews with the teachers (interview phase II, chapter III), due to the time difference between lessons and the time-consuming nature of the transcribing process, the participants could hardly recall and contribute useful insights of their classroom linguistic patterns in these follow-up interviews. This problem could have been addressed if video recordings had been used during data collection. It is noted that video recordings data was not used as a multimodal approach to analysis but rather to aid interview and the teachers' recalling. This

learning point can be noted for future research – those that adopt the same analytical approach to analysis classroom discourse.

The second limitation of the study is the fact that the dataset is taken from one city in Vietnam. While I have no reason to believe that the data is not representative of English education classroom discourse in Vietnam, findings of similar patterns in other educational institutions would certainly strengthen the results further.

#### **8.4. Suggestions for future research**

This study has explored the identity formation of Vietnamese teachers of English education classrooms. It has been pointed out that on the one hand the teachers' identity formation is gradually constructed towards student-centredness, but on the other hand there are still instances that illustrate the existence of embedded traditional teaching approaches. While this study has focused on the teachers' identity construction in the classroom, future research of Vietnamese teachers' identities might further our understanding by incorporating both outside and inside the classroom contexts in order to understand teacher identity construction in various settings, such as extra-curricular activities or school events (Varghese *et al.*, 2005). Additionally, while this study was carried out in university settings, future research can look at teachers' identities in other settings, such as schools and educational institutions. Looking at teachers' identity construction from various perspectives and settings can establish a more holistic understanding of Vietnamese teachers' identities, as well as the social constraints that affect the construction of those identities.

It is also believed that linguists and discourse analysts can examine the construction of teachers' identities over a longer period to study other discourse strategies and processes that teacher deploy to construct identities. In addition, due to the variety of educational settings and longer period of investigation, another direction arising from this study worthy of investigating is the increase of teachers' use of Facebook and other social media platforms (drawing from interviews) to interact with students and the world. Thus, how teachers portray themselves in these interactive platforms can be further explored in future research.

Moreover, the investigation of Vietnamese teachers' identity construction is particularised in the field of English Language Teaching (ELT) and ELT teachers. It

is believed that the subjects and areas that teacher teach have a significant impact on their identity construction. It is hence suggested that future research can look at the identities construction of Vietnamese teachers who teach other languages, for instance Korean, Japanese, and French and so on; or teachers in natural science subjects, such as maths and physics.

Finally, it would be interesting to study the development of teacher identity construction after engaging in the workshops and reflective practice proposed in this study. A collective set of data derived from the teacher's classroom analysis, classroom interaction/videos, portfolios and forums are believed to establish a systemic understanding of Vietnamese teachers' discursive identity construction in classroom settings. From there, future research can delve more into how Vietnamese teachers can benefit from exchanging and discussing their discursive strategies, either in successful classrooms or in challenging instances where the teachers' identities are protested against and resisted.

To sum up this thesis, it is worth re-emphasising the importance of understanding Vietnamese teachers' identities and their dynamic construction in the classroom. Understanding such a dynamic construction can increase Vietnamese teachers' sensitivity and awareness of their classroom practice, which might result in the effective deployment of new teaching approaches. Teachers' identity construction is a crucial aspect, yet it has not been given sufficient value by Vietnamese mainstream education that focuses on changes in methodology and neglects the understanding of the teachers' unique world. Since it is strongly argued in this study that "good teaching cannot be reduced to technique; good teaching comes from the identity and integrity of the teacher" (Palmer, 1997: 16), Vietnamese teachers' identities should be revisited and reconsidered thoroughly for a better education system of Vietnam. I believe this thesis can be an inspiration for further exploration of the complexity of Vietnamese teachers' identities.



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## Appendices

### Appendix A: Discourse functions of teacher's code switching

Normal font: English and non-translated Vietnamese/ Bold, italic font: Vietnamese bits translated into English

Functions	Sub-categories	Examples	Number of occurrences on one typical lesson				
			Jack	Jane	Joy	Claire	Hope
Translating difficult or illustrative language	a. Translation of a word	We say, we say like um “her time is coming” the time do you know? The time is coming. Thời vận ở, time is coming ok? ----- We say, we say like um “her time is coming” the time do you know? The time is coming. <b><i>Time</i></b> , time is coming ok?	14	9	10	18	9
	b. Translation of a phrase and sentence	đây là bộ phim à không thể không xem được thì ta nói như nào nhỉ that is a must-watch movie must-watch là phải xem chúng ta hay nói những cái khẩu ngữ như này (.) tiếp là một nơi phải đến must-come place ----- <b><i>This is a movie which we cannot not watch, how can we say, that is a must-watch movie must-watch is must-see we often use such spoken expression (.) next is a place to come must-come place</i></b>	21	17	11	15	10

Explaining/ clarifying grammar/ pronunciation/ use of words	Explaining pronunciation rules	<p>đây các bạn nhìn từ này các bạn phải biết ngay long /i:/ hay short /ɪ/ đây ạ nhớ không? ie này ie là âm đặc biệt là long /i:/ hết chúng ta nhớ nhé piece ((teacher emphasises on /i:/ in /pi:s/))</p> <p>-----</p> <p><b>Here look at this work you have to know straightaway long /i:/ or short /ɪ/ here remember? This ie ie is special sound all are long /i:/ we remember ok</b> piece ((teacher emphasises on /i:/ in /pi:s/))</p> <p>Khi bạn muốn nói về một nghề nghiệp nào đó bạn hãy them (xxx) bạn nói “I am on a sale” chúng tôi không hiểu bạn thêm vào sau nó I I am a sale-person nên stuntman bạn suy rộng nó ra bằng woman cũng được (xxx)</p> <p>-----</p> <p><b>when you want to mention a job you can add (xxx) you say</b> “I am on sale” <b>we don’t understand you add at the end</b> “I I am a sale-person” so ‘stuntman’ <b>you can see it in the case of</b> woman <b>too</b> (xxx)</p>	12	2	15	8	6
	Explaining use of word		8	7	3	10	7
Evaluation	a. Positive feedback - Repeating the student’s answer  - Words of praise	Yeah kind of that kịch bản Yeah kind of that <b>script</b>  Oh Good good good, I know this movie	6	7	5	8	10
			3	3	6	7	6

	b. Negative feedback - Words of disapproval	Không ‘masterpiece’ thì nó chỉ là cái giống như cái à nó như một cái tuyệt tác ----- <i>No ‘masterpiece’ it is one similar to a very great and successful artwork</i>	3	2	2	4	0
Giving direction/ Providing procedural instructions	a. Task instruction	very fast turn to the next person to share with him or her what him did today, come on	4	8	6	8	11
	b. Managing tasks	Take a pause now later we talking about our favourite movie and our character too Hai ok please?	4	5	3	7	4
	c. Giving direction (what happens next)	The last word is here harry porter, king kong	4	5	2	6	5
	d. Assigning tasks	Next onto:: Hong what about you?	5	9	7	3	2

Raising questions	a. Revising learned knowledge	<p>Long hay short tại sao biết là long? Bạn còn nhớ cái cấu trúc /e/ consonant /e/ không ạ? thường thường là 2 /e/ mà đứng giữa nó là 2 e một phụ âm thì nó sẽ là /i:/ Japanese Vietnamese ok? ((/dʒapəˈniːz/ /viɛtnəˈmiːz/ teacher stresses on the /i:/ sound))</p> <p>-----</p> <p>Long <b>Or</b> short <b>why you know it is long? You remember the rule of</b> /e/ consonant /e/? <b>Normally 2 /e/ which in between 2 /e/ is a consonant it will be</b> /i:/ Japanese Vietnamese ok? ((/dʒapəˈniːz/ /viɛtnəˈmiːz/ teacher stresses on the /i:/ sound))</p>	6	5	15	8	3
	b. Test students' knowledge and understanding	<p>if you are in Viet nam right there's a must-come place it is Ha Long bay when you come to China there is must-come place what is that? In China?</p>	8	7	2	1	6
	c. Check students' comprehension	<p>Harry Porter is masterpiece means very successful very outstanding very amazing work or movie what does it mean? Masterpiece?</p>	10	2	7	4	3
	d. Develop the lesson's points	<p>Next but low or high uh like a budget movie you know budget? You know budget is like a-the money you have low and high những cái bộ phim lớn thì tổng đầu tư của nó thì sao nhỏ?</p> <p>-----</p>	11	4	6	0	5

	e. Confirmation	Next but low or high uh like a budget movie you know budget? You know budget is like a-the money you have low and high <b>for the big movies how are their budget?</b>  Oh your classmate told you to stop?	6	4	3	0	5
Anecdotes/ personal advice/ opinions embedded in interpretation from lesson-related knowledge	a. Anecdotes	Chinese như hôm nọ tôi ra công viên, hôm ngoại khóa, tôi đang ấy một nhóm đang làm thì có hai thằng Trung Quốc lần vắn lần vắn nó xem nên tôi nhìn thấy một thằng thì béo một thằng thì đầu tròn thế nên tôi ra tôi nhìn thấy tôi biết rồi nói chuyện một lúc (.) nói Trung Quốc mà đấy, tôi nhìn mặt bảo “chắc là mày thích nghiên cứu phong thủy đúng không” mới hỏi “sao mày biết?” Tôi bảo “nhìn cái mặt mày là tao biết” thế nó mới hỏi tiếp, “thế mày biết cái gì mày nói tao xem mày biết là, bắt đầu nói về phong thủy nên nó mới vỗ vào cái bụng to nó bảo là “mày đang bị đau dạ dày ngày nào mày cũng đi bộ đúng không?” “sao mày biết? Ngày ngày ăn cơm xong tao cũng thích đi bộ” thế cái thằng béo béo tôi nhìn nó ngó ngó bên cạnh còn thằng này “hình như bố mày bố mẹ mày không ở với nhau” xong hỏi “sao mày biết” “thì tao nhìn mặt mày tao biết” ----- Chinese like one day I went to the park, extra curriculum day, I was instructing a group then there came two Chinese guys roaming around to watch so I saw them one is fat and one with a round head so I came to them and talked for a while (.) I looked at one of the guy's faces and told “you like to study feng shui right?” he asked “how can you	1	0	0	1	0

		<p><i>know?” I responded “looking at your face I can tell” and then he asked “if you know something please tell me” we started to talk about feng shui and I pointed to his belly and said “you have stomach pain, you need to go for a walk every day right?” “how can you know? Every day after meals I like to go for a walk” that is the fat silly looking guy the guy next to him looked kind of naïve “is it true that your parents no longer stay with each other?” then he asked “how can you know?” “I look at your face, I can tell”</i></p>	3	1	2	4	4	
	<p>Personal advice/ opinions / comments</p>	<p>cùng ngôn ngữ hai bạn này với bạn kia nói chuyện nên người ta sang người ta đánh giá được bạn nào tâm bạn nào mạnh nên tiếng anh không phải tôi đánh giá bạn ở cái language không đầu bạn ạ mà cả cái knowledge cái general knowledge nên chúng ta cố gắng, ----- <i>share the same language two friends talking to each other people can evaluate who is a stronger candidate so English it is not me judging you in your language no it is not like that but also knowledge the general knowledge so try harder</i></p>						
<p>Providing social/cultural lesson-related knowledge</p>		<p>Một trong ba vị thánh tông đồ của thế giới được tôn vinh, Victor Hugo, in Vietnam (1.0) Nguyễn Bình Khiêm and (1.0) in China that is Tôn Trung Sơn được tôn từ khi còn sống (.) chú ý nhé có thể đây là những thứ chúng ta nên biết thôi (.) không mỗi người sẽ biết mỗi lĩnh vực nhưng đây những cái</p>	8	2	3	1	0	

	tôi cung cấp cho các bạn ----- <b>One of the three saints are known worldwide, Victor Hugo, in Vietnam (1.0) Nguyễn Bình Khiêm and (1.0) in China that is Tôn Trung Sơn, three saints of our world right we need to remember that they are honoured when they are still alive (.) Note that these are what we should know (.) no each person will know an area but these are what I provide you</b>					
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## Appendix B: Conventions used in the transcriptions

(Adopted from Keith Richard 2003)

<u>Basic conventions</u>		<u>Other conventions</u>	
.	Falling intonation	↑	Prominent rising intonation
,	Continuing contour	↓	Prominent falling intonation
?	Questioning intonation	-	Abrupt cut-off
!	Exclamatory utterance	(x)	Hitch or stutter
(2.0)	Pause of about 2 seconds	CAPS	louder than surrounding talk
(...)	Pause of about 1 second	talk	
(.)	Pause of about 0.5 second	hhh	Aspirations
(.)	micropause	hhh	Inhalations
[ ]	Overlap	(h)	Breathiness
[[	Speakers start time		(e.g. laughing, crying)
=	Latched utterances	o o	Quieter than surrounding talk
_____	Emphasis	> <	Quicker than surrounding talk
-	Cut off		
:	Sound stretching	→	Feature of interest. This is placed in the left-hand margin to draw attention to a feature the analyst wishes to highlight.
(xxx)	Unable to transcribe		
(send)	Unsure transcription		
(( ))	Other details		
aaaa	Translation		

## Appendix C: Interview guides for participants

### Interview guide for teacher interviews

#### I. Introduction

My name: Thi Hong Nhung Nguyen

My research institution: University of Warwick

My research area: Identity and discourse

The length of the interview (expected): 20-30'

Give the participants the consent form and get it signed. Mentioning the rights of participant to opt out if they desire to do so. In case of participant withdrawal, questions relating to such an event will be further addressed.

#### II. Questions relating to the interviewees

Interviewee's name:.....

Current position:.....

Years of experience:.....

Type of English class:.....

Other specification:.....

#### III. Questions to address the research questions (the body of the interview)

1. What are Vietnamese teacher's opinions about their identity and role in the classroom?

Sub questions:

- a. Could you tell me about your opinions about the role of a teacher in the classroom?
  - b. What do you consider to be the role of your students in the classroom?
  - c. What are the things you do with your students in the classroom?
  - d. What is the relationship between you and your students?
  - e. Is rapport with the students important to you and why? (If yes go to the question f, no move to question g)
  - f. How do you improve the rapport with your students?
  - g. Are there any instances where you feel there is conflict between you and your students? Can you describe such an event, how it was solved and what happened after that?
2. How are the Vietnamese teachers' identities actually negotiated and constructed in the classroom discourse?
    - h. Could you please explain the reason why you have said like this?
    - i. What do you think the student meant in this particular example?
  3. What role do power and morality play in the construction of Vietnamese teachers' identity? (As I have detected these issues in my MA research): If the participants mentioned about this during the previous questions move forwards to question j, k, l, and m. If the participants didn't mention morality in the previous questions, move to questions n, o, and p.

- 
- j. That is very interesting. Could you please further clarify that for me when you mention...? What other things you do think that includes?
  - k. Could you give me an example of that please?
  - l. Could students be free of teacher's classroom management?
  - m. To which extent do you think teachers' authority is enough in the classroom to aid studying and at the same time creating an equal teaching-learning environment?

- 
- n. Your classroom environment sounds really supportive and interesting. In order to achieve that, could you share with me some of the tips or your own way of managing your class?
  - o. Do you think teachers' authority in the classroom is essential and why? What do you think a teacher's authority include?
  - p. (If the teacher mentions about the passiveness of the students) what do you think are the reasons for this? Are your students acting passively in the classroom and why? What have you done to improve the situation?
4. Morality-related questions:
- q. Are there any cases where you and your students discuss sensitive topics in the classroom? Can you recall a specific example of this?
  - r. Are there cases where you felt insulted or offended by your students in the classroom? Can you share with me some examples? How have you dealt with this?
  - s. Do you think teaching and guiding students' moral understanding is crucial in your class? And why? How do you (try to) achieve this?

#### **IV. Closing the interview**

- t. Signal the end of the interview:  
*Many thanks. That's all what I wish to ask and discuss with you in this interview.*
- u. Asking in case the participants want to ask any questions:  
*Do you have any concern or question to ask me in terms of the purpose of the study or any other things?*
- v. Say thank and mention the follow-up interview:  
*Thank you so much for your time and valuable information and sharing. I wish you to see you soon in the coming follow-up interviews.*

### **Interview guide for student interviews**

#### **I. Introduction**

My name: Thi Hong Nhung Nguyen

My research institution: University of Warwick

My research area: Identity and spoken discourse

The length of the interview (expected): 20-30'

Give the participants the consent form and get it signed. Mentioning the rights of participant to opt out if they desire to do so. In case of participant withdrawal, questions relating to such an event will be further addressed.

#### **II. Questions relating to the interviewees**

Interviewee's name:.....

Current class:.....

Length of the study with the teacher:.....

Other specification:.....

#### **III. Questions to address the research questions (the body of the interview)**

1. Can you briefly describe for me the class of .....(name of the teacher)?

Sub questions:

- a. How is the normal environment in the class?
- b. What do you feel about his or her teaching style and methods?
- c. How is the teacher's manner and style?
2. How do you feel about.....(name of the teacher)'s characteristics?
  - d. You mention she was .....(friendly or controlling for example) would you please clarify it and give me a specific example?
  - e. Do you remember any example where teacher was angry or upset with you or your friend? If there is any, would you please recall it?
  - f. What happens if you come to the class late or do your own personal things in the classroom?
3. In the classroom who is the main speaker? Do you have many opportunities to raise your opinion?

Sub questions:

- g. Who do you think does most of the talking in the class? Do you think that the teacher wants you to speak a lot in the class?
- h. On average, how many percentages do the teacher talk and the student talk in the classroom respectively?
- i. Do you feel like you can give your opinions or asking teacher for clarification in the class?
4. If you can improve one thing (or more), what will you wish to change to make ..... 's classroom better? (Name of the teacher)

#### **IV. Closing the interview**

5. Signal the end of the interview  
*That's all what I wish to ask and discuss with you in this interview.*
6. Finding out whether the informant wants to add anything  
*Do you want to add anything to out of what we discussed before?*
7. Asking in case the participants want to ask any questions  
*Do you have any concern or question to ask me in terms of the purpose of the study or any other things?*
8. Express gratitude and mention future contact  
*Thank you so much for your time and valuable information and sharing. In the future please allow me to contact you if there are more question relating to the data.*

## Appendix D: Participants' consent forms



### **PARTICIPANT INFORMATION STATEMENT AND CONSENT FORM**

**Title of Project: An investigation on Vietnamese teachers' identity through classroom discourse**

**Investigator: THI. H. N. NGUYEN**

#### **Participant selection and purpose of study:**

You are invited to participate in a study of Vietnamese teachers' identity in classroom interaction. This study aims to undertake an in-depth analysis of spoken interaction between the exchanges of teachers and students in Vietnamese English classrooms. These analyses are then being related to the construction of Vietnamese teachers' identity in the Communicative Language Teaching (CLT) movement in Vietnam. You have been selected as a possible participant in this study because you have met the main criteria of using mainly English in the classroom and showing your interest in CLT.

#### **Description of study:**

If you decide to participate, the investigator will ask for your permission to observe your classroom teaching and record the exchanges taking place in your classroom. This will be followed later by a short interview. The recording procedure will start from the beginning to the end of your class and the interview will last approximately 15 minutes.

It is envisaged that this study will be beneficial for you and other teachers as it enables the researchers to gain a better understanding of the connection between teachers' own understanding of CLT and their identity as a teacher in Vietnamese classroom context. It is also hoped that the research will contribute to a better understanding of classroom practices in Vietnam.

#### **Confidentiality and disclosure of information:**

All names and places will be anonymised in transcripts of recordings and interviews, and any information that is obtained in connection with this study and that relates to you will remain absolutely confidential and will be disclosed only with your permission or except as required by law. If you give the investigator your permission by signing this document, she plans to publish the results as part of her thesis for the award of a PhD by the University of Warwick, UK. She may also use data from the project in academic papers or conference presentations. In any publication, information will be provided in such a way that you cannot be identified. All recordings, transcripts etc. will be stored in secure locations.

#### **Feedback to participants:**

Towards the end of the data analysis phase, the researcher will send you a one page executive summary of her findings. Moreover at the completion of the study, all participants will be most welcome to consult the thesis when it is published.

#### **Your consent:**

As part of this project the investigator will make an audio, and/or video recording of you while you participate in the research. The investigator would like you to indicate below what uses of these recordings you are willing to consent to. This is completely

up to you. I will only use the records in ways that you agree to. In any use of these records, names will not be identified.

1. The records can be shown to other participants in the research. (Please circle as appropriate)

Photo      Audio      Video      All

2. The records can be used for scientific publications. (Please circle as appropriate)

Photo      Audio      Video      All

3. The written transcript can be kept in an archive for other researchers. (Please circle as appropriate)

Photo      Audio      Video      All

4. The records can be used by other researchers. (Please circle as appropriate)

Photo      Audio      Video      All

5. The records can be shown in classrooms to students. (Please circle as appropriate)

Photo      Audio      Video      All

6. The records can be shown in public presentations to non-scientific groups. (Please circle as appropriate)

Photo      Audio      Video      All

Your decision on whether or not to participate will not prejudice your future relations with The University of Warwick. If you decide to participate, you are free to withdraw your consent and to discontinue participation at any time without prejudice.

If you have any additional questions concerning the project, the investigator, Thi. H. N. Nguyen, will be happy to discuss these with you. Or you could contact her PhD supervisor, Dr Stephanie Schnurr, at [s.schnurr@warwick.ac.uk](mailto:s.schnurr@warwick.ac.uk) Or Warwick Research Ethics Committees, contact number: (024) 765 75732, Research & Impact Services, University House, University of Warwick, Coventry CV4 8UW.

**Your signature indicates that, having read and understood the information provided above, you have decided to participate.**

.....

.....

Signature of Research Participant  
(please PRINT)

Name of Research Participant

.....

.....

Date

Signature of Investigator

Thi. H. N. Nguyen

Email: [T.H.N.Nguyen@warwick.ac.uk](mailto:T.H.N.Nguyen@warwick.ac.uk)

Tel: (+44) 7934 017 221

## Appendix E: An example of teacher's interview data

Hope's interview	Interview data	Notes
	((After Hope's description of the usual steps in her class))	
Me	So do you think that all of the steps that you had created have something to do with the relationship between you and your students?	
Hope	Yeah, definitely. Do you mean what kind of relationship like as a teacher-student relationship or as friend relationship?	
Me	I mean the relationship between teacher and student; what is the role of that in the procedure that you are trying to carry out in your classroom?	
Hope	I've always told my students that "I am- I am not here to teach, I am here to guide and I am here to help as a partner, as a mentor, whatever you think of me" I try not to put out the word 'teach' because that will create a gap between teachers and students so...	
Me	Hum hum	
Hope	Yeah they consider me as a friend and so I try to create a friendly and fun environment so we are friends	
Me	Yeah	
Hope	But I do expect some kind of...a certain amount or certain levels of respect from them	
Me	Yeah	
Hope	So there should be a boundary and then yeah the roles of the teachers in the classroom as I just mentioned before we...as you know, you are teacher as well	
Me	Yeah	
Hope	So it takes great effort to play many roles as a teacher; for example, you have to babysit them, you have to manage them, guide them in the right direction, correct their mistakes without discouraging or scaring them away from making mistakes, so you have to be some sort of sensible and they are very sensitive...	
Me	Yeah	
Hope	Especially beginner levels	
Me	Yeah	
Hope	So the roles of the teacher, I think it would be like a conductor in an orchestra everything goes into different... Ha-ha ((both me and Hope laugh)) The role of the teachers as I said, in ESL classrooms our aims...we aim for student-centred classrooms so the role of the teachers...we just stand back and monitor, jump in and help whenever you feel fit...you know whenever you see fit, so the students will be the dominant I think, so that 20% of teacher talking time and 80% of student talking time. That's what I learned from TESOL.	

Me	Ok that's what you learned; so what do you feel in the practice of your own classroom? Is that very feasible?	
Hope	Yeah it has shown to be quite effective.	
Me	An effective way. That's very interesting Where I learn to shut up and listen to them more ((both me and Hope laugh)) rather than sort of lecturing them	
Me	Yeah I feel like you have a quite clear-cut view between what is the traditional teaching method in Vietnam and what you have been learning from ESL classroom and new teaching methodologies, so could you just clarify a bit more of your perceptions about the traditional one, how it would be and what are the advantages and disadvantages in comparison with what you have learned recently?	
Hope	Yeah. So I would share some of my experiences from the TESOL course and what I have been watching online and a few books that I read.	
Me	Yeah	
Hope	So what I have learned from TESOL the biggest difference between traditional ESL classrooms and modern ESL classrooms is the barriers between teachers and students ((Hope continues her explanation))	



## Appendix F: Ethnographic note

Class Date	Time	Procedure	Comment/ Critical thinking
Claire's class (28/03) Monday	18:15	<p>Pronunciation of two different sounds. Teacher lets the student listen and then students repeat. Teacher then challenges the students to pronounce different words: Owl/our/out/ouch/oust/ounce.</p> <p>Listening activity. Students listen to the tape and circle the sound they hear. Teacher checks the correct answers. Teacher then introduces the monophthongs and diphthongs. Teacher tells the students how the position of the tongue and the shape of the mouth change according to different sounds.</p>	
	18:35	Class moves to the next part of the lesson, which is about the vocabulary. Teacher divides the class into three groups. Each group is given a foldable white board. In 3', the whole group needs to write down as many subjects in the classroom as they can. The group who wins will be given a point card. Teacher signs on the card. If a student gains full points, he/she will be rewarded.	Teacher goes around to check the process of the activity. Teacher controls the time very tightly. All the words which were written down once. Model -> modem Open /open/ should be /oupen/
	18:45	The student works on his or her own to do the activity the teacher asks them to. Matching the words with the pictures. Teacher introduces grammar:	Teacher suggests the way to remember new words. Ask her why? While the students are working, teacher asks Paul where is his booklet. "Stay at home". Teacher replies in a kind of mocking way.
		<div>What's that/ this? It's a/an.... What are those/ What are these? They're...</div>	

		<p>Teacher shows the pictures on the screen and asks students to say the names of the things using the form focused in the box.</p>	<p>If the selected student can't answer the question, teacher asks another student to help.</p>
19:05	<p>Listening activity and reading after the tape. Teacher explains the rules for choosing a/an in front of the noun. And adding s/es at the end of the nouns.</p> <p>O s x ch sh z</p> <p>Pronunciation for /s and es/ /s/ unvoiced sounds end /z/ voiced sounds at the end /iz/ sibilant sounds at the end</p> <p>Teacher plays the tape; students listen and put the right words into the right categories. Teacher checks whether the students use the right words.</p> <p>Next section on the giving instructions: ...V + (please). Teacher goes around to get the answers from the students. Teacher plays the tape and asks the students to listen and choose the right instructions they hear. Teacher nominates different students to give the answers.</p>	<p>Teacher asks the students to put some energy into the repeat.</p> <p>TO READ (emphasised), when Lam ask the reason why teacher says to send the file to the students. (7:10')</p> <p>THAT'S IT, throwing the pen on the table. It feels as if her knowledge transmission duty is done.</p> <p>Students seem to get into difficulties when it comes to the pronunciation of the words with e or es at the end. Should have given them some examples to practice.</p> <p>Teacher's mistake: The whole row</p> <p><b>Teacher gives an example using Paul (again): "Paul, can you focus on the lesson?"</b> <b>Teacher later said it was an example only (Ask her again about this)</b></p> <p>Teacher notices the difficulty of the students when they pronounce:</p>	

		<p>Play a game: Simon says /sez/ or /seiz/</p> <p>Teacher is conscious about the time left (only 2 minutes) and asks students to practise the grammar focus of the lesson. Students are paired and are asked to take the stuff inside their bags and ask ‘What’s this?’</p>	<p>sit/shit/sheet. Teacher takes some time to check it again for the students.</p> <p>Teacher lets Bea take over her role. Why? Teacher shares her note with Paul to help. Her identity??? Punish with singing a song.</p>
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## Appendix G: An example of training material, a reflective vignette

### *Context of the extract:*

The extract was taken from Claire's class, a teacher who has more than nine years of experience in teaching communicative and IELTS classes. The extract occurred during the group activity where students were divided into groups to create sentences with new vocabulary.

### *Claire's classroom interactional data:*

(T: Teacher; R: Ruth; Ss: other students)

- 1 T cho vào cái tính huống nào mà nó bật ra được mấy cái cảm xúc này này
- 2 (1.0) khi Will nắm tay Sean thì Sean cảm thấy rất sợ hãi còn Will thì
- 3 ((joking tone))  
**Create situation which these emotions can easily be used (1.0) when Will holds Sean's hand then Sean feels so scared and Will is** ((joking tone))
- 4 R Haha Will thì cảm thấy rất là ngạc nhiên "tại sao cô ấy lại sợ hãi?"  
Haha **Will feels very surprised "why is she scared?"**
- 5 T Cô ấy ((giggling tone))  
**She** ((giggling tone))
- 6 Ss hahaha đôi giới tính  
hahaha **gender transition**

### *Areas for reflexive commentary:*

- The classroom environment and the participants of teacher and students
- The speakers' use of L1
- The use of humour and the identity construction of the teacher and students

## Appendix H: An example of classroom interaction transcripts

**Jack's class 1 (Classes are on Tuesday, Thursday, Sunday)  
(01/03) (Second shift from 18:00 to 19:30)**

**Lesson: Friendship**

(J: Jack; T: Tom; H: Hana)

Names		Details	Commentary Questions
1	J	Few minutes and before starting our class today I	(1) It is interesting how teacher linking his emotion with students wrongdoing. (2) Teacher moderates the complaint a bit by sounding like he is putting himself in other's shoes. I feel like this is part of his identity, to not making things too harsh for the students and ruining the classroom environment.
2		would like to tell you that don't come late to my	
3		class anymore. <u>I don't feel very happy when you</u>	
4		<u>come late you know what I mean.</u> Especially for	
5		new members because when you come late it	
6		takes a lot of time ((music accidentally started))	
7		Because <u>I know that sometimes you have some</u>	
8		<u>businesses but try to arrange the time, come on</u>	
9		<u>time because now it is like now we are 10' late</u>	
10		<u>that's why I cannot give- I mean I don't have</u>	
11		<u>enough time to give you all the activities today.</u>	
12		Um ok so before starting our class today, I would	
13		like to introduce to you to um yeah friends of	
14		mine. Today we have miss Rose Ok and mr	
15		Duong and please a big welcome. Rose is a very	
16		famous person in Haiphong. She is very well	
17		teacher as well from England. Later she's going to	
18		give a short introduction Dave as well, a man	
19		coming back from UK after some years of	
20		learning and today they are going to observe our	
21		class to watch me especially and later to give me	
22		some comments about my my-about our class	
23		(xxx) and some constructive comments to help to	
24		improve the quality of this class OK? So as usual	
25		the first part is presentation. Mr Tom are you	
26		ready? Come 'on please turn off the light come	
27		here please ((teacher arrange the class seats))	
28		And sorry just 3 seconds. All the members don't	
29		come late in my class anymore from this time	
30		OK? You can (xxx) ready? Just a moment, just a	
31		second. One two three go	
32	T	Hello everybody today I tell you what is	(3) Could this be linked to morality? Interesting though that this is introduced by student here
33		happiness. <u>To me happiness is to be with my love</u>	
34		ones and take care of them. But ahh if I need to	
35		take care of them well, I must have a good health	
36		and um (xxx) so I always work hard to earn more	
37		money and have a lot of money I will take my	
38		family travelling on holiday. If I have a happy	
39		family and a good job so my parents do not worry	
40		about me. I will take a good care of my parents	
41		when they retire and my friends who can share	

42		happiness and sadness with me. I will help them if	
43		they are in need. When my family and friends are	
44		help me I'll also feel happy because I love them.	
45		That's all.	
46	J	You have 59 seconds. It is impressive; some more	
47		time up do you have any question for him because	
48		we still have time. We still have one minute.	
49		Would you like to give him some questions?	
50		Do you like your job?	
52	H	Yeah I like my job because I can use my free time	
53		to use another work	
54		(4.0)	
55			